

SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM WORKING HANDBOOK

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APPENDICES

- A. The Older Americans Act and SCSEP Regulations**
- B. Index of Older Worker Bulletins**
- C. Sample Forms**

A SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM WORKING HANDBOOK

INTRODUCTION

The ideal situation for a new Senior Community Service Employment Program (SCSEP) director would be to walk into work the first day and find that the grantee has all its files, reports, instructions, financial records and other important documents in place and correct. Whether this is the case or not, a new SCSEP director needs to immediately begin to function as a staff leader and resource administrator.

A new SCSEP director should be prepared to take charge and become knowledgeable about SCSEP and the grantee's program. Initial activities should include the following:

- Reading Title V of the Older Americans Act of 1965 as amended and implementing regulations for SCSEP at 20 CFR, Part 641 (Appendix A).
- Reviewing the grantee's current SCSEP grant agreement with DOL, as well as all bulletins issued by the DOL;
- Examining the most recent quarterly Financial Status Report (FSR), quarterly Progress Report (QPR), the most recent equitable distribution report and grantee Balance Sheet and Expenditure Statement;
- Making contact with the assigned Division of Older Worker Programs (DOWP) federal representative if you are a direct grantee.
- Subgrantees may find it advantageous to first contact the grantee, however project directors, whether grantees or subgrantees, may contact the Division of Older Workers at any time.
- The management of an SCSEP includes the following major components:
 - Planning: setting goals and objectives and working out strategies for attaining them.
 - Budgeting: planning the use of financial resources for reaching goals and controlling expenditures.
 - Organizing: identifying, arranging and coordinating the work that needs to be done in order to carry out plans.

- Developing Human Resources: mobilizing the people needed to make the program work and taking steps to enhance their performance.
- Supervising: enhancing the skills and motivation of less experienced staff.
- Evaluating: comparing program accomplishments with the standards set at the planning stages; using the results to determine if the program has been successful in training and employing older workers.
- Consulting: assisting other programs or workers to accomplish tasks more effectively, thereby enhancing the effectiveness of the training assistance program network.

SCSEP directors who know how to perform these functions efficiently will be successful in obtaining employment and quality training for the older worker workforce. They can make plans to achieve goals, organize the people and resources needed to carry out the plans, encourage and assist individuals delivering services, and evaluate the results.

This handbook was written mainly for new SCSEP directors. Other personnel (e.g., job developers, financial officers and support staff) can also benefit.

Information relevant to most functions of management can be found in this handbook. The handbook contains many applicable citations; however, it does not include all of them. There is much more to read and become knowledgeable about than the material presented in this handbook. The handbook is divided into nine sections:

Part 1.0	The SCSEP and Its Oversight
Part 2.0	The Grant Process
Part 3.0	Administrative Standards and Procedures
Part 4.0	Assessment and Evaluation
Part 5.0	If You Are Monitored by the SCSEP Staff
Part 6.0	SCSEP Operations Manual
Part 7.0	Reserved
Part 8.0	Good Practices

APPENDICES

- A. The Older Americans Act and SCSEP Regulations
- B. Index of Older Worker Bulletins
- C. Sample Forms

This handbook was developed as a reference guide for the new SCSEP director and other program staff, and as a reference guide for experienced SCSEP practitioners. After the initial reading, it is intended the handbook will be used as a continuing resource. It is a working handbook and allows for the addition and deletion of pages as circumstances warrant.

SCSEP directors are encouraged to submit written comments and suggestions to DOWP regarding the contents of this handbook.

LIST OF ACRONYMS AND ABBREVIATIONS

502 (e)—	Experimental Program
AAA	— Area Agency on Aging
AARP	— American Association of Retired Persons Foundation
Admin—	Administration
ANPPM	— Asociacion Nacional Pro Personas Mayores
CFR	— Code of Federal Regulations
SCSEP—	Senior Community Service Employment Program
DAA	— Division of Acquisition and Assistance
DACAR	— Division of Audit, Closeout and Appeals Resolution
DCD	— Division of Cost Determination
DOL	— Department of Labor
DOWP	— Division of Older Worker Programs
ED	— Equitable Distribution
ES	— Employment Services
ETA	— Employment and Training Administration
EW/FB—	Enrollee Wages/Fringe Benefits
FSR	— Financial Status Report
FY	— Fiscal Year
GED	— General Equivalency Diploma
GSA	— General Services Administration
GT	— Green Thumb
IDP	— Individual Development Plan
IG	— Inspector General
IRCA	— Immigration Reform and Control Act
JTPA	— Job Training Partnership Act
M&IE	— Meals and Incidental Expenses
MIS	— Management Information Systems
MOE	— Maintenance of Effort
NAPCA	— National Asian Pacific Center on Aging
NCBA—	National Center on Black Aged
NCOA—	National Council on the Aging
NICOA	— National Indian Council on Aging
NSCERC	— National Senior Citizens Education & Research Center
NUL	— National Urban League
NOO	— Notice of Obligation

LIST OF ACRONYMS AND ABBREVIATIONS

(Continued)

OAA	—	Older Americans Act
OCD	—	Office of Cost Determination
OEC	—	Other Enrollee Costs
OFAM—		Office of Financial and Administrative Management
OGCM	—	Office of Grants and Contract Management
OIG	—	Office of the Inspector General
OJT	—	On-the-Job Training
OMB	—	Office of Management and Budget
ONP	—	Office of National Programs
PIC	—	Private Industry Council
PMS	—	Payment Management System
PY	—	Program Year
QPR	—	Quarterly Progress SCSEP Report
SDA	—	Service Delivery Area
TAT	—	Technical Assistance and Training
USFS	—	United States Forest Service
UI	—	Unemployment Insurance

HANDBOOK CITATIONS

Throughout this handbook, citations to Title V of the Older Americans Act and citations to governing regulations are italicized and in brackets. Example: [Sec. 501(a) and 641.101]. The reference, Sec. 501(a), is to Title V, and the reference, 641.101, is to the regulations.

In Part 6.0, Operations Manual, the notation [GP], indicates that a parallel reference is in the Good Practices section of the handbook.

Three resource manuals for SCSEP practitioners are referenced in Part 8.0. These manuals: "Using Public Relations to Market Older Workers,"[PR]; "How to Help SCSEP Enrollees Find Jobs,"[JD]; and "Using Motivation and Training to Increase Job Placements"[MT] were developed by the National Senior Citizens Education & Research Center, Inc. (NSCERC). The DOWP has other reference manuals which are available for use by project sponsors. To learn more about these manuals contact the DOWP.

DEFINITIONS

Act and OAA mean the Older Americans Act of 1965, as amended (42 U.S.C. 3001, et seq.).

Allotment means the initial designation of an amount of appropriated SCSEP funds to all grantees operating within the states.

Area agency on aging means an area agency on aging designated under section 305(a) (2)(A) of the Act or a state agency performing the functions of an area agency on aging under section 305(b) (5) of the Act.

Authorized position means an enrollment opportunity during a program year. The number of authorized positions is derived by dividing the total amount of funds appropriated during a program year by the national average unit cost per enrollee for that program year as determined by the Department. The national average unit cost includes all administration costs, other enrollee costs, and enrollee wage and fringe benefit costs. An allotment of the total dollars for the grantee is divided by the national unit cost to determine the total number of authorized positions for each grant agreement.

Community service means social, health, welfare, and educational services (particularly literacy tutoring); legal assistance, and other counseling services, including tax counseling and assistance and financial counseling; library, recreational, day care and other similar services; conservation, maintenance, or restoration of natural resources; community betterment or beautification; pollution control and environmental quality efforts; weatherization activities; and includes inter-generational projects; but is not limited to the above. It excludes building and highway construction (except that which normally is performed by the project sponsor) and work which primarily benefits private, profit-making organizations. [Sec. 507(2)]

Department and DOL mean the United States Department of Labor, including its agencies and organizational units.

Disability means a physical or mental impairment of an individual that substantially limits one or more major life activities; a record of such impairment or being regarded as having such an impairment. [29 CFR Parts 32 and 34]

Dual Eligibility means individuals eligible under SCSEP, who are enrolled in a joint program established under a written financial or non-financial agreement to jointly operate programs with JTPA are deemed to satisfy the requirements of all JTPA programs funded under Title II-A.

Eligible individual means a person who is 55 years of age, or older, and who has a low income as defined in this section. [Section 507(1)]

DEFINITIONS

(Continued)

Eligible organization means an organization which is legally capable of receiving and using federal funds under the Act and entering into a grant or other agreement with the Department to carry out the provisions of Title V. [Sec. 502(b)(1)]

Employment and training program(s) means publicly funded efforts designed to offer employment, training and/or placement services which enhance an individual's employability. The term is used in this part to include, but is not limited to, the JTPA or similar legislation and state or local programs of a similar nature.

Enrollee means an individual who is eligible, receives services, and is paid wages for engaging in community service assignments under a project.

Grantee means an eligible organization which has entered into a grant agreement with the Department under this part.

Greatest economic need means the need resulting from an income level at or below the poverty level based on guidelines provided by the Department.

Greatest social need, as defined at section 102(a)(30) of the Act, means the need caused by noneconomic factors which include: (1) physical and mental disabilities; (2) language barriers; and (3) cultural, social, or geographical isolation, including isolation caused by racial or ethnic status.

Host agency means a public agency or a private non-profit organization, other than a political party or any facility used or to be used as a place for sectarian religious instruction or worship, exempt from taxation under the provisions of section 501(c)(3) of the Internal Revenue Code of 1986, which provides a work site and supervision for an enrollee.

Individual development plan means a plan for an enrollee which shall include an employment goal, achievement objectives, and appropriate sequence of services for the enrollee based on an assessment conducted by the grantee or subgrantee and the enrollee.

JTPA means the Job Training Partnership Act. [29 U. S. C. 1501, et seq.]

Low income means an income of the family which, during the preceding six months on an annualized basis or the actual income during the preceding 12 months, whichever is more beneficial to the applicant, is not more than 125 percent of the poverty levels established and periodically updated by the U. S. Department of Health and Human Services. In addition, an individual who receives, or is a member of a family which receives, regular cash welfare payments shall be deemed to have a low income for purposes of this part.

DEFINITIONS

(Continued)

Poor employment prospects means the unlikelihood of an otherwise eligible individual obtaining employment without the assistance of this or other employment and training programs. Persons with poor employment prospects include, but are not limited to, those without a substantial employment history, basic skills, English-language proficiency, or displaced homemakers, school dropouts, disabled veterans, homeless or residing in socially and economically isolated rural or urban areas where employment opportunities are limited.

Program year means the one-year period covered by a grant agreement beginning July 1 and ending on June 30.

Project means an undertaking by a grantee or subgrantee, pursuant to a grant agreement between the Department and a grantee, which provides for community service opportunities for eligible individuals and the delivery of associated services.

Reallocation means a redistribution of funds by a grantee.

Reallotment means the redistribution of allotted SCSEP funds by the Department from one state to another state(s) or from one grantee to another grantee.

Residence means an individual's declared dwelling place or address. No requirement pertaining to length of residency prior to enrollment shall be imposed.

SCSEP means the Senior Community Service Employment Program as authorized under Title V of the Act.

State agency on aging means that sole agency designated by the state, in accordance with regulations of the Assistant Secretary on Aging, pursuant to Section 305(a)(1) of the Act.

Subgrantee means the legal entity to which a subgrant is awarded by a grantee and which is accountable to the grantee (or higher tier subgrantee) for the use of the funds provided.

PART 1.0 THE SCSEP AND ITS OVERSIGHT

This section discusses the history and focus of the Senior Community Service Employment Program. It also provides information on the divisions and offices within the U.S. Department of Labor which administer the SCSEP and the official government documents grantees need to manage their grants.

1.1 WHAT IS THE SCSEP?

SCSEP is an acronym for Senior Community Service Employment Program. The SCSEP grew out of the older workers component of Operation Mainstream, a pilot project established in 1965 under Title II of the Economic Opportunity Act. Operation Mainstream provided job opportunities for chronically unemployed, poor adults. In 1973, the older worker component of Operation Mainstream was converted from a pilot project to an ongoing program (SCSEP) under the Older Americans Comprehensive Service Amendments. The 1978 Comprehensive Older Americans Act Amendments redesignated the SCSEP as Title V of the Older Americans Act.

The focus of the SCSEP is to foster and promote useful part-time opportunities in community service activities for persons with low incomes who are fifty-five years old or older, who have poor employment prospects and have the greatest economic need. Community service means social, health, welfare, and educational services (particularly literacy tutoring), legal and other counseling services and assistance, including tax counseling and assistance and financial counseling, and library, recreational, and other similar services; conservation, maintenance, or restoration of natural resources; community betterment or beautification; antipollution and environmental quality efforts; weatherization activities; economic development; and such other services essential and necessary to the community as the Secretary, by regulation, may prescribe.

1.2 WHAT IS THE DOWP?

DOWP is the abbreviation for the Division of Older Worker Programs located in Washington, D.C. DOWP is a Division of the Office of National Programs (ONP). ONP is an office of the Office of Job Training Programs which reports to the Secretary, U.S. Department of Labor.

The mission of DOWP is to design, develop and administer Senior Community Service Employment Programs (SCSEP) operated by eligible state units on aging and ten national public and private agencies or organizations, known as grantees. DOWP relates to grantees through the following functions:

- Conducting general oversight of the grantees' programs including monitoring and quarterly analysis of grantee performance;

- Answering grantees' questions and providing technical assistance;
- Negotiating and processing annual grant applications;
- Issuing DOWP Bulletins that contain instructions and administrative information to grantees.

DOWP is a small staff that works on a team concept. Grants are administered directly from the national office. Each member under the division chief is assigned to specific SCSEP grants. They are called federal representatives and may be assigned any number of grants, depending on number of federal representatives on board at any given time. The federal representatives are the initial DOL point of contact for all grantees unless otherwise instructed in DOL correspondence.

One of the primary responsibilities of a federal representative is to serve as a facilitator for all grantee business with DOL. Grantees are advised to maintain frequent and regular contact with the assigned federal representative. They are encouraged to seek formal and informal advice and to discuss problems and issues with their federal representative. The federal representative's duties include providing information, interpretations, reviewing applications and negotiating grants, observing project performance, monitoring and similar activities.

The SCSEP federal representatives can be reached at 202-219-5904. If your assigned representative is not available, another person in the office can provide advice or assistance. When questions are answered by phone, grantees may make a note of the answer given, the date and the person responding. Complex questions or sensitive issues should be written and directed to the Division with a request for a written response.

The mailing address for DOWP is:	Division of Older Worker Programs U.S. Department of Labor/ETA 200 Constitution Ave., N.W., Room N-4641 Washington, D.C. 20210
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1.3 OTHER PARTICIPATING DOL/ETA OFFICES

There are many DOL offices that perform functions which concern or support such programs as the Senior Community Service Employment (SCSEP) grantees. These offices include the Office of Financial and Administrative Management, the Office of Strategic Planning and Policy Development, the Office of the Inspector General, and the Office of Procurement and Grant Management.

The mission of the Division of Acquisition and Assistance (DAA) within the Office of Grants and Contract Management, ETA, is to provide grants management services to such programs as the SCSEP grantees.

The Grant Officer for the SCSEP officially designates grantees and approves or disapproves grant applications and modifications using information and other input mainly from DOWP.

The mission of the Division of Audit, Closeout and Appeals Resolution (DACAR) of the Office of Grants and Contract Management, ETA, is to resolve audits of ETA grantees and contractors; to close out grants and contracts; and to assist in the resolution of grantee and contractor appeals.

Grantees are notified of audit findings through a DACAR initial determination letter. Grantees must respond to this initial determination within 30 days. A final determination is then issued by DACAR. If a grantee disagrees with the final determination, it can appeal to the DOL administrative law judge. DOWP monitors grantees to provide assistance to prevent audit findings, if they are unsuccessful, they monitor to determine if audit findings have been resolved.

Once a grant has expired, (or been terminated) the grant officer notifies DACAR of the need to close out the grant. DACAR sends a closeout package to the grantee. The grantee works with DACAR in closing out its grant.

Refer to Part 3.0 of the handbook for additional information on audits and closeouts.

The mission of the Division of Debt Management (DDM) within the Office of Grants and Contract Management, ETA, is to develop and administer a debt management program to satisfy all extraordinary ETA monetary claims against grantees and contractors.

Once the grant officer has established a grantee debt, the Division of Debt Management (DDM) is notified. Then, DDM issues up to three payment demand letters to the grantee. Grantees can appeal the determinations and the payment demand letters are suspended until an administrative law judge rules on the grantee's appeal.

Interest on the debt accrues from the date of final determination until full payment is made. No interest is charged if the grantee pays the debt within the first 30 days after notification.

Grantees should not ignore the payment demand letters. Ignoring the letters could result in loss of a grant. In addition, if a grantee fails to respond to the third payment demand letter, DDM refers the debt case to the Department of Justice for litigation. Grantees should communicate directly with DDM until the debt case is resolved.

The mission of the Division of Program and Fiscal Review (DPFR) of the Office of Management Support, ETA, is to conduct in-depth program and fiscal reviews of nationally administered ETA programs.

DOWP has primary functional responsibility to monitor its grantees. At times, DPFR monitors SCSEP grantees in conjunction with SCSEP staff. DPFR will limit its review of the grantee to fiscal reviews.

Once the monitoring is completed. DPFR prepares a report to DOWP, which is incorporated into the report submitted to the grantee by DOWP. Grantees are required to respond to deficiencies discovered during the on-site monitoring. Refer to Part 6.0 of the handbook for additional information on monitoring.

The mission of the Division of Special Review and Internal Control (DSRIC) within the Office of Management Support, ETA, is to conduct investigations of allegations of fraud and other wrongdoing involving ETA statutes, regulations, contracts and grants.

DSRIC responds to Office of the Inspector General Incident Reports and DOWP monitoring reports. After reviewing these reports, DSRIC issues its own report to DINAP. DSRIC is also authorized to do on-site investigations of a grantee.

Once DOWP has received the DSRIC report, DOWP works with the grantee to develop an acceptable corrective action plan. This applies to programmatic problems only. If grantee fraud and abuse is found, DSRIC refers the case to the DOL Office of the Inspector General.

The mission of the Division of Fiscal Policy (DFP) of the Office of the Comptroller, ETA, is to provide the financial policies and standards, procedures and technical assistance needed to ensure sound financial management for all ETA programs.

DFP assists DOWP in developing parts of the on-site monitoring guide, provides technical assistance to DOWP staff and grantees, and monitors grantee cash and financial management.

The mission of the Division of Accounting (DA) of the Office of the Comptroller, ETA, is to administer the payment provisions for SCSEP contracts, grants and agreements. The Division of Accounting oversees the PMS system utilized by SCSEP grantees to receive funds; processes grantee requests for payment; signs off on grantee closeouts; and answers grantee questions regarding payment concerns.

The Payment Management System (PMS) is operated by The Department of Health and Human Services (DHHS) and is set up for processing by the Division of Accounting (DA). Generally, a grantee receiving more than \$100,000 and possessing the required computer capability is set up on the PMS by DA, which regularly informs DHHS of the obligational authority available to each grantee, by title and year.

When a grantee needs money, it uses its computer to access the PMS computer and specifies the amount and title and year of funds requested. If the requested obligational authority is available, the Federal Reserve Bank in Richmond is instructed to transmit the funds to the grantee's bank the following business day. Most PMS transactions are completed within a 24-hour period, providing the request is received prior to noon Eastern time Monday through Thursday.

Refer to Part 3.0 of the handbook for additional information on financial management.

The mission of the Property Management and Engineering Support Unit within the Division Administrative Services, ETA, is to provide support services to SCSEP grantees regarding property management and to monitor their inventories.

This unit plans and implements approved policies regarding the acquisition, control, disposition and overall management. Grantee-held non expendable property must submit a request to DOWP. If DOWP recommends approval, it forwards the request to the Management and Engineering Unit. Grantees can also receive assistance from this unit regarding property control and disposition.

The mission of the Office of Audit within the Office of the Inspector General (OIG), DOL, is to administer a comprehensive program for assessing departmental, contractor and grantee organizations and operations by directing financial and performance audits.

Grantees are required to have audits conducted. The audits must be conducted in conformance with applicable regulations, OMB circulars and Generally Accepted Accounting Principles. Once the audit is completed, a grantee must submit a copy to its cognizant federal agency. For many SCSEP grantees, this is usually the U.S. Department of Labor, Office of the Inspector General. All other grantees should contact the federal agency(ies) having jurisdiction over their area. Your federal representative can provide you with jurisdictional information.

Once OIG receives grantee audit reports, a desk review is conducted. Next, the OIG sends the audit report to DACAR and ETA gives the report to DOWP. Grantees needing to resolve audit findings are notified by DACAR.

Refer to Part 3.0 of this Handbook for additional information on audits.

The mission of the Office of Cost Determination (OCD) within the Facilities Management, DOL, is to develop and maintain policies and procedures for determining costs on federally-aided programs, and for approving indirect cost rates for use in funding indirect costs for DOL grants and contracts.

If the grantee intends to charge its SCSEP grant for indirect costs, an approved indirect cost proposal is required. An indirect cost proposal and the methodology used in their computation must be negotiated with and approved by the cognizant federal agency annually. The cognizant federal agency is usually the agency which provides the largest sum of money to the grantee.

The Office of Cost Determination is available to provide technical assistance when requested. In addition, OCD will negotiate an indirect cost rate for those grantees for which DOL is the cognizant federal agency.

In those cases in which DOL is the cognizant agency, a new grantee should submit an indirect cost proposal to the DOL national office. This should be accomplished within 90 days after it has been designated a SCSEP grantee. Existing SCSEP grantees for which DOL is the cognizant agency

should apply for a renewal within six months after completion of any grantee fiscal year. Refer to Part 3.0 for additional information on indirect costs plans.

It should be noted that the offices described above perform functions which are applicable to all programs of DOL or ETA. DOWP relates to those offices in a variety of ways depending on the nature of the activity or problem, whether the issue concerns all grantees or individual grantees and whether the issue concerns an ongoing process or a special problem.

It may be necessary, at times, for various DOL/ETA offices to contact grantees directly. Those offices are responsible for keeping DOWP informed of all issues involving each grantee. Often, they will identify a contact person who is not a member of DOWP. Grantees should deal directly with the identified contact. However, DOWP federal representatives can and do serve as facilitators on behalf of grantees and the other offices when necessary. It may prove useful to let DOWP federal representatives know of these contacts.

1.4 OFFICIAL DOCUMENTS YOU NEED TO DO THE JOB

1.4.1 Older Americans Act

The Older Americans Act is referred to by the abbreviation, OAA, and was enacted as Public Law 89-73 on July 14, 1965. The Act as amended on September 30, 1992 is included in this handbook as Appendix A. It is currently being reauthorized.

1.4.2 Implementing Regulations

The implementing regulations (20 CFR 641) for the Senior Community Service Employment Program (SCSEP) were issued in the **Federal Register** on May 17, 1995. These regulations provide administrative and programmatic guidance and requirements for the implementation of the SCSEP. (Appendix A).

1.4.3 OMB Circulars

The Office of Management and Budget (OMB) issues circulars that address standards for the administration of grants to state and local governments, as well as to institutions of higher education, hospitals and other non-profit organizations, etc. The contents of many of these circulars are included in the Uniform Administrative Requirements. The most frequently used OMB Circulars relevant to SCSEP are as follows:

- | | |
|--------------|--|
| A-87 | Cost Principles for State and Local Governments (for use by state and local governments) |
| A-102 | Property Management for State and Local Governments (for use by state |

and local governments)

- A-110** Grants and Agreements with Institutions of Higher Education, Hospitals and Other Nonprofit Organizations (for use by nonprofit grantees)
- A-122** Cost Principles for Nonprofit Organizations (for use by nonprofit grantees)
- A-128** Single Audit Act (for use by SCSEP grantees)

1.4.4 DOWP Bulletins

DOWP bulletins are used to transmit policies, procedures and information on subjects of special interest. They are jointly signed by the director, Office of National Programs and the Chief, Division of Older Worker Programs. When they contain instructions and procedures concerning annual funding, the designation process or newly issued regulations, they are also signed by the Grant Officer.

Grantees must comply with the action statements of each bulletin. These bulletins are issued frequently and should be reviewed carefully for grant administration. The bulletins should then be retained for future reference.

New directors should review all their DOWP bulletins and should contact their assigned federal representative for assistance in clarifying any questions and to help in identifying which bulletins are missing. Copies of missing bulletins can be obtained by contacting your federal representative. Grantees are also advised that indices of Older Worker Bulletins are issued periodically by DOWP. The latest index is included in this handbook as Appendix B.

1.4.5 29 CFR Part 96

Title 29 Code of Federal Regulations (CFR) Part 96 describes the audit requirements for all DOL grants, contracts and other agreements. This set of audit regulations applies to both tribal and nonprofit grantees.

1.4.6 29 CFR Part 97

Part 97 establishes uniform administrative rules for federal grants, agreements and subawards to state and local governments. This part describes grantee requirements such as financial administration, property, reports, records retention and closeout. 29 CFR Part 97 was implemented in the PY 1989 grant cycle.

1.4.7 29 CFR Part 98

Part 98 provides common rules for a government-wide system of nonprocurement from debarred and

suspended individuals, corporations, and grantees. It includes a list of debarred and suspended individuals and groups which should be used by all governmental agencies and grantees when awarding grants and contracts.

All SCSEP directors are expected to maintain a copy of all applicable CFRs to keep informed of DOL administrative requirements. Updates to these CFRs are issued in the **Federal Register**.

1.4.8 Grant Agreement

The basic grant agreement between the grantee and DOL describes selected aspects of a grantee's planning, operations and administrative procedures. It is described in further detail in the next section.

1.4.9 Equitable Distribution Report (Edtm)

The OAA requires sponsors to seek an equitable distribution of program resources. The EDTM provides an annual basis to determine the collective progress made by all SCSEP grantees within a given state toward an equitable distribution of program positions. The EDTM will be described in greater detail in Part 2.0 of this technical assistance guide.

1.4.10 Other Documents

Grantees are required to comply with other applicable public laws. These include, but are not limited to, the following:

- Civil Rights Act
- Age Discrimination in Employment Act
- Drug-Free Workplace
- Davis-Bacon Act
- Hatch Act
- Americans with Disabilities Act

Grantees should refer to the Assurances and Special Conditions section of their Grant Agreement for a further list of public laws.

PART 2.0 THE GRANT PROCESS

The various aspects of the grant processes are presented in this section. Grant application procedures and timelines for the required documents are also provided.

2.1 ELIGIBILITY FOR SCSEP FUNDS

Agencies and organizations eligible to receive SCSEP funds shall be those specified in sections 502(b) and 506(a) of the Act. Section 502(b) authorizes the Secretary to enter into agreements with public or private nonprofit agencies or organizations, including national organizations, agencies of a state government or a political subdivision of a state (having elected or duly appointed governing officials), or a combination of such political subdivisions, or tribal organizations in order to further the purpose and goals of the program. Preference in awarding such grants shall be given to national organizations of proven ability in providing employment services to older persons under SCSEP and similar programs. The Secretary, in awarding such grants and contracts under this section shall, to the extent feasible, assure an equitable distribution of activities under such grants, in aggregate, among the states, taking into account the needs of underserved states. [502(b), 506(a), 641.202]

2.2 ALLOCATION AND ALLOTMENT OF SCSEP FUNDS

SCSEP funds are allocated among states and territories to assure, to the extent feasible, an equitable distribution of community service employment opportunities among states. The amount allocated to each state is based on the per capita income of each state compared with national per capita income, on the number of eligible persons (those 55 years of age or older with incomes within the specified limits), and on a hold harmless base. [Sec. 506(a), 641.201] SCSEP funds are allotted to state and national organizations in accordance with the formula in Section 506 of the Act. The appropriations act traditionally allots 22 percent of SCSEP funds within a state to the agency designated by the governor and 78 percent of the SCSEP funds to those national organizations which operate in the state. [Sec. 506, 641.202]

2.3 EQUITABLE DISTRIBUTION

The amount allotted for projects within a state shall be apportioned among areas within the state in an equitable manner, taking into consideration:

1. The proportion which eligible individuals in each such area bears to the total number of such persons, respectively, in that state;
2. The relative distribution of such individuals residing in rural and urban areas within

the state; and

3. The relative distribution of such individuals who are individuals with the greatest economic need, such individuals who are minority individuals, and such individuals with greatest social need. [Sec. 506(c), 641.201(b)]

2.3.1 ANNUAL EQUITABLE DISTRIBUTION REPORT

The state agency for each state receiving funds or a sponsor designated by the Department shall report at the beginning of each fiscal year on such state's status relative to section 506(c) of the Act. The equitable distribution report shows the actual locations of authorized positions compared to the ideal locations in relation to the number of eligible persons and other pertinent considerations. All grantees operating within a state are required to provide necessary information for the report. The Department may review substate allotments of positions and may reallocate positions. [Sec. 506(d), 641.201(c)]

2.4 GRANT APPLICATION AND REVIEW

The Department establishes annually a schedule for the submission of the grant preapplications and applications, the contents of grant applications, including goals and objectives, amounts of grants; and grant budget and narrative formats. Grant applicants shall comply with the requirements of the Department's regulation at 29 CFR Part 17, which implements the intergovernmental review of Department programs and activities.

A Preapplication for Federal Assistance form (SF-424) filed as a result of the intergovernmental review system shall contain an attachment, which, at a minimum, lists the proposed number of authorized community service positions in each county, or other appropriate jurisdiction within the affected state. A grant applicant planning to award funds by subgrant shall outline the nature and extent of the planned use of such funds; and assure that in the event that a subgrant agreement is canceled in whole or in part, the grantee will provide continuity of services to the enrollees. The Department requires that it be submitted to state Single Point of Contact (SPOC) offices in accordance with the A-95 review process.

Whenever a national organization or other program grantee (including a state grantee) or subgrantee proposes to conduct projects within a planning and service area in a state, that organization or program grantee is responsible for sharing the application with area agencies on aging and other SCSEP sponsors prior to the award of the funds in accord with guidelines issued by the Department.

The Department makes a responsibility review of each applicant. Matters considered include outstanding debits, timely audits, persistent administrative deficiencies such as failure to maintain an adequate financial management system, failure to provide services to eligible persons as agreed to in

previous DOL grants, failure to correct deficiencies brought to the attention of the grantee as a result of reviews or assessments by the Department, failure to resolve subgrantee audits, and disallowed costs in excess of 5 percent of a grant.

In addition, the Department reviews each grant application submitted within the prescribed time by an eligible organization to determine availability of funds, whether the application is in proper form, whether the applicant demonstrates compliance with the Act and regulations, and whether the applicant offers the best prospects of serving appropriate geographic areas and making proper use of allotted funds. [Sec. 502(d)(1), 641.204, 641.205, 641.206, 641.208]

2.4.1 Grant Application Procedures

The DOWP annually provides SCSEP sponsors with grant application instructions and procedures for the upcoming program year together with instructions for applying for extensions of the current grant and instructions for applying for experimental projects. These instructions are in the form of an older worker bulletin with appendices which provide:

- State funding levels and authorized positions.
- Instructions for the Preapplication
- Instructions for the Grant Application
- Instructions for the Experimental Project Application
- Grant Numbers

Sponsors may apply by submitting the diskette provided with the bulletin or by submitting the application in hard copy. All SCSEP sponsors must prepare and submit an original and two copies of the grant application to DOWP. Documents with photocopied signatures cannot be accepted as official. Sponsors using the diskette must send a signed copy of the grant signature sheet with the diskette. Grantees that need an original signature returned to them on their grant document should submit two grant signature sheets with original signatures.

2.4.2 The Grant Application Package

The application consists of:

1. A grant signature sheet;
2. A narrative;
3. A budget (the SF-424A with budget details); and
4. For those sponsors that apply for a section 502(e) experimental project, the completion of an additional section of the application.

2.4.3 The Grant Timeline

The preapplication	Due at the state Office on Aging, the area agencies on aging and DOWP 45 days from the date of the the annual Older Worker Bulletin providing planning instructions and allotments for the next program year.
Equitable distribution report	Due annually in March/April
Extension requests	Due date is provided in the annual Older Worker Bulletin.
Final application	Due at DOWP 60 days after the date of the annual bulletin.
Experimental training application	Due at the same time as the final application, or later if agreed to by the federal representative.

2.5 EXPERIMENTAL SKILL TRAINING PROJECTS

The Department may enter into agreements for experimental training projects under section 502(e) of the Act which provides that the Secretary....shall conduct experimental projects designed to assure second career training and the placement of eligible individuals in employment opportunities with private business concerns. The Secretary shall enter into such agreements with states, public agencies, non-profit private organizations and private business concerns as may be necessary to conduct the experimental projects authorized by the subsection.

The Secretary, from amounts reserved under section 506(a) (2) (A) in any fiscal year, may pay all of the costs of any agreement entered into under the provisions of this subsection. Current SCSEP eligibility standards shall be used for experimental projects unless the Department permits, in writing, the use of another approved income index. A grantee may exclude a project, permitted under section 502(e) of the Act, from meeting the non-federal share or the cap on administrative costs; however, this exclusion does not relieve the grantee from the matching requirement, under 641.404, which applies to the entire grant. The Secretary shall, to the extent feasible, assure equitable geographic distribution of projects authorized by the subsection.

National grantees shall distribute funds for experimental projects in accordance with the state allocation of their SCSEP grant. The Secretary shall issue...criteria designed to assure that experimental training agreements (a) will involve difference kinds of work modes, such as flex-time, job sharing, and other arrangements relating to reduced physical exertion; (b) will emphasize projects involving second careers and job placement and give consideration to placement in growth industries and in jobs reflecting new technological skills; and (c) require the coordination projects carried out under title II-A of the JTPA to the extent possible. [Sec. 502(e), 641.207(i), 641.326]

Separate and different Quarterly Progress Reports (QPRs) and Financial Status Reports (FSRs) are required for each experimental training project.

2.6 EXTENSION OF THE CURRENT GRANT

Sponsors that anticipate having funds available at the conclusion of the present grant may apply for an extension. The extension may be up to 60 days. During the extension period, no administrative charges may be made against the current grant. All administrative charges must come from the new grant. To apply for an extension, submit the following documents:

1. One grant signature sheet with an original signature, and the proposed new end date;
2. If a budget modification is required, submit revised budget information forms that reflect how the funds will be spent during the entire grant period;
3. A brief explanation of any changes; and
4. Mention of the states where the unused funds will be spent.

PART 3.0 ADMINISTRATIVE STANDARDS AND PROCEDURES

This section describes limitations on SCSEP funds and describes, or incorporates by reference, requirements for the administration of grants by a grantee of the Senior Community Service Employment Program.

3.1 ADMINISTRATIVE REQUIREMENTS

Except as otherwise provided in this part, SCSEP funds must be administered in accordance with, and subject to, the Department's regulations at 29 CFR Parts 31, 32, 93, 96, and 98. In addition, projects and activities administered by state, local or Indian tribal governments are also subject to the Department's administrative regulations at 29 CFR Part 97; projects and activities administered by institutions of higher education, hospitals, or other **non-profit** organizations are subject to the Department's administrative requirements regulations at 29 CFR Part 95 (1994). Grantees of SCSEP funds shall be subject to any revisions of any implementing regulations cited in this paragraph on the effective date of such revisions.

Aside from the program regulations which contain administrative standards and procedures for SCSEP grantees, the best source of administrative information is found in *The Administrative Requirements for Grants and Cooperative Agreements to States, et cetera* at 29 CFR Part 97 (for state governments) and *The Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, et cetera*, which includes non-profit organizations.

State projects should use 29 CFR Part 97 for matters relating to finance, property, cost sharing, program income, etc. Non-profits should use 29 CFR Part 95 for information on these topics.

3.1.1 Administration of Interagency Agreements

Federal establishments other than the Department of Labor which receive and use funds under SCSEP or the regulations shall submit to DOL project fiscal and performance progress reports as described in 641.409.

Non-DOL federal establishments which receive and use funds under SCSEP shall maintain the standard records on individual enrollees and enrollee activities, in accordance with the regulations.

The Department may provide SCSEP funds to another federal agency by a non-expenditure transfer authorization or by payments on an advance or reimbursement basis.

In aspects of project administration other than those described in the above paragraphs of this section, federal establishments which receive and use funds under SCSEP may use their normal administrative procedures. [641. 501]

3.2 ALLOWABLE COSTS

General: Costs are to be determined in accordance with the applicable cost principles, although there are some exceptions which are provided in this part.

Applicable Cost Principles: The cost principles set forth in the following OMB Circulars apply to the respective organizations incurring the costs:

- OMB Circular A-87 - state, local or Indian tribal governments;
- OMB Circular A-122 - Private, non-profit organizations other than institutions of higher education, hospitals, or other organizations named in OMB Circular A-122 as not subject to OMB Circular A-122 (see sections 4.a. (Definitions) and 5 (exclusions) of OMB Circular A-122);
- OMB Circular A-21 – Educational institutions; or
- 48 CFR Part 31.2 – Commercial organizations (for profit organizations other than hospitals or other organizations named in OMB Circular A-122 as not subject to OMB Circular A-122).

Lobbying Costs: In addition to the prohibition contained in 29 CFR Part 93 and in accordance with limitations on the use of appropriated funds in Department of Labor Appropriation Acts, SCSEP funds shall not be used to pay any salaries or expenses related to any activity designed to influence legislation or appropriations pending before the Congress of the United States.

Building Repairs and Acquisition Costs: No federal grant funds provided to a grantee or subgrantee under SCSEP or the regulation may be expended directly or indirectly for the purchase, erection, or repair of any building except for the labor involved in:

- Minor remodeling of a public building necessary to make it suitable for use by project administrators;
- Minor repair and rehabilitation of publicly used facilities for the general benefit of the community; and

- Minor repair and rehabilitation by enrollees of housing occupied by persons with low incomes who are declared eligible for such services by authorized local agencies.

Allowable Fringe Benefit Costs: The cost of the following fringe benefits are allowable: initial and annual physical assessments, annual leave, sick leave, holidays, health insurance, social security, worker's compensation and any other fringe benefits approved in the grant agreement and permitted by the appropriate federal cost principles found in OMB Circulars A-87 and A-122, except as limited for retirement costs by 641.311(c).

Accessibility and Reasonable Accommodation: Funds may be used to meet a grantee or subgrantee's obligations to provide physical and programmatic accessibility and reasonable accommodation as required by section 504 of the Rehabilitation Act of 1973, as amended, and the Americans with Disability Act of 1990. [641.403]

3.3 CLASSIFICATION OF COSTS

All costs must be charged to one of the following three cost categories:

Administration. The cost category of Administration shall include, but not be limited to, the direct and indirect costs of providing:

- Administration, management, and direction of a program or project;
- Reports on evaluation, management, community benefits, and other aspects of project activity;
- Assistance of an advisory council, if any;
- Accounting and management information systems;
- Training and technical assistance for grantee or subgrantee staff;
- Bonding; and
- Audits.

Enrollee Wages and Fringe Benefits. The cost category of Enrollee Wages and Fringe Benefits shall include wages paid to enrollees for hours of community service assignments as described in 641.311, including hours of training related to a community service assignment, and the costs of fringe benefits provided in accordance with 641.311.

Other Enrollee Costs. The cost category of Other Enrollee Costs shall include all costs of functions, services, and benefits not categorized as administration or enrollee wages and fringe benefits. Other enrollee costs shall include, but shall not be limited to, the direct and indirect costs of providing:

- Recruitment and selection of eligible enrollees as provided in 641.304 and 641.305;
- Orientation of enrollees and host agencies as provided in 641.308;
- Assessment of enrollees for participation in community service assignments and evaluation of enrollees for continued participation or transition to unsubsidized employment as provided in 641.309;
- Development of appropriate community service assignments as provided in 641.310;
- Supportive services for enrollees, including transportation, as provided in 641.312;
- Training for enrollees, including tuition; and
- Development of unsubsidized employment opportunities for enrollees as provided in 641.314.

Cost Reductions. Grantees may lower administration costs or other enrollee costs by assigning enrollees to activities which normally would be charged to either of these cost categories. In such instances, the costs of enrollees' wages and fringe benefits shall be charged to the cost category of enrollee wages and fringe benefits. [Section 502(b)(1)(A), 641.404, GP]

3.4 LIMITATIONS ON FEDERAL FUNDS

Limitations on Federal funds described here shall apply to SCSEP funds allotted to grantees for community service activities. Cost categories, limitations, and periods during which different limitations shall apply are set forth in this section.

Administration. The amount of federal funds expended for the cost of administration during the program year shall be no more than 13.5 percent of the grant. The Department may increase the amount available for the cost of administration to no more than 15 percent of the project in accordance with section 502(c)(3) of the Act.

Enrollee Wages and Fringe Benefits. The amount of federal funds budgeted for enrollee wages and fringe benefits shall be no less than 75 percent of the grant. [641.405, GP]

3.5 ADMINISTRATIVE COST WAIVER

Based upon information submitted by a public or private nonprofit agency or organization with which the Department has or proposes to have an agreement as set forth under section 502(b) of the Act, the Department may waive 641.405(b)(1) and increase the amount available for paying the costs of administration to an amount not to exceed 15 percent of the proposed federal costs of the grant. Each waiver shall be in writing. The Department shall administer this section in accordance with section 502(c)(3)(A) and (B) of the Act.

The waiver may be provided to grantees that demonstrate and document reasonable and necessary:

- Major administrative cost increases;
- Operational requirements imposed by the Department;
- Increased costs associated with unsubsidized placement;
- Increased costs of providing specialized services to minority groups; and
- The minimum amount necessary to administer the grant relative to the available funds.

3.6 NON-FEDERAL SHARE OF PROJECT COSTS

The Department shall pay not more than 90 percent of the cost of any project which is the subject of an agreement entered into under the Act, except that the Department is authorized to pay all of the costs of any such project which is:

- An emergency or disaster project;
- A project located in an economically depressed area as determined by the Secretary of Labor in consultation with the Secretary of Commerce and the director of the Office of Community Services of the Department of Health and Human Services;
- A project which is exempted by law; or
- A project serving an Indian reservation that can demonstrate it cannot provide adequate non-federal resources.

The non-federal share of costs may be in cash or in-kind, or a combination of the two, and shall be calculated in accordance with 29 CFR 97.24 or 29 CFR 95.23, as appropriate. [Sections 502(c) and 502(e), 641.407, GP]

3.7 BUDGET CHANGES

As an exception to 29 CFR 97.30(c)(1), **Budget Changes**, 29 CFR 95.25, Revision of budget and program plans, the movement of **Enrollee Wages and Fringe Benefits** to any other budget category shall not be permitted without prior written approval of the awarding agency. The Department shall not approve any budget change which would result in non-compliance with 641.405(b)(2). [641.408]

3.8 GRANTEE FISCAL AND PERFORMANCE REPORTING REQUIREMENTS

In accordance with 29 CFR 97.40 or 29 CFR 95.51, as appropriate, as approved under OMB Control No. 1205-0040, each grantee shall submit a Senior Community Service Employment Program **Quarterly Progress Report (QPR)**. This report shall be prepared to coincide with the ending dates for federal fiscal year quarters and shall be submitted to the Department no later than 30 days after the end of the quarterly reporting period. If the grant period ends on a date other than the last day of a federal fiscal year quarter, the last quarterly report covering the entire grant period shall be submitted no later than 30 days after the ending date. The Department shall provide instructions for the preparation of this report.

In accordance with 29 CFR 97.41 or 29 CFR 95.52, as appropriate, the following financial reporting requirements apply to SCSEP grants:

- An SF-269, **Financial Status Report (FSR)**, shall be submitted to the Department within 30 days after the ending of each quarter of the program year. A final FSR shall be submitted within 90 days after the end of the grant. All FSR's shall be prepared on an accrual basis.
- In accordance with Departmental instructions, an **Equitable Distribution Report** of SCSEP positions by all grantees in each state shall be submitted annually by the state agency receiving SCSEP funds or another project sponsor designated by the Department. [641.409]

3.9 SUBGRANT AGREEMENTS

- The grantee is responsible for the performance of all activities implemented under subgrant agreements and for compliance by the subgrantee with the Act and the regulation.
- No subgrant or other subagreement may provide for any expenditure of fund beyond the ending date of the grant agreement.

- For purposes of this part, procurement, as described in 29 CFR Part 97 and 29 CFR, sections 95.40 through 95.48, does not include the award or administration of subgrant agreements. [641.410]

3.10 PROGRAM INCOME ACCOUNTABILITY

Any of the methods described at 29 CFR 97.25 or 29 CFR 95.24, as appropriate, may be used to account for program income. [641.411]

3.11 EQUIPMENT

Equipment purchased by a state grantee with SCSEP funds prior to July 1, 1989, shall be subject to 29 CFR 97.32. [641.412] Non-profit grantees are subject to 29 CFR Part 95.30. The definition of "equipment" (see OMB Circular No. A-122) should be considered before the sections are read.

3.12 AUDITS

Each grantee is responsible for complying with the Single Audit Act of 1984 (31 U.S.C. 7501, et seq.) and 29 CFR Part 96, the Department of Labor regulation which implements Office of Management and Budget Circular A-128, "Audits of Institutions of Higher Education and Other Nonprofit Institutions", as appropriate. [641.413]

3.13 GRANT CLOSEOUT PROCEDURES

Grantees shall follow the grant closeout procedures at 29 CFR 97.50 or 29 CFR 95.71, as appropriate. As necessary, the Department shall issue supplementary closeout instructions for all SCSEP grantees. [641.414]

3.14 DEPARTMENT OF LABOR APPEALS PROCEDURES FOR GRANTEEES

This section sets forth the procedures by which the grantee may appeal a SCSEP final determination by the Department relating to costs, payments, notices of suspension, and notices of termination other than those resulting from an audit.

Appeals of suspensions and terminations for discrimination shall be processed under 29 CFR Part 31, 32, or 34, as appropriate.

Appeals from a final disallowance of cost as a result of an audit shall be made pursuant to 29 CFR Subpart 96.6.

Upon a grantee's receipt of the Department's final determination relating to costs (except final disallowance of cost as a result of an audit), payments, suspension or termination, the grantee may appeal the final determination to the Department's office of Administrative Law Judges, as follows:

- Within 21 days of receipt of the Department's final determination, the grantee may transmit by certified mail, return receipt requested, a request for a hearing to the Chief Administrative Law Judge, United States Department of Labor, 800 E Street, N.W., Room 400N, Washington, D.C. 20001 with a copy to the Department official who signed the final determination. The Chief Administrative Law Judge shall designate an administrative law judge to hear the appeal.
- The request for hearing shall be accompanied by a copy of the final determination, if issued, and shall state specifically those issues of the determination upon which review is requested. Those provisions of the determination not specified for review, or the entire determination when no hearing has been requested, shall be considered resolved and not subject to further review.
- The Rules of Practice and Procedures for Administrative Hearings Before the Office of Administrative Law Judges, set forth at 29 CFR Part 18, shall govern the conduct of hearings under this section, except that:
 - The appeal shall not be considered a complaint; and
 - Technical rules of evidence, such as the Federal Rules of Evidence and Subpart B of 29 CFR Part 18, shall not apply to any hearing conducted pursuant to this section. However, rules designed to assure production of the most credible evidence available and to subject testimony to test by cross-examination shall be applied where reasonably necessary by the administrative law judge conducting the hearing. The certified copy of the administrative file transmitted to the administrative law judge by the official issuing the final determination shall be part of the evidentiary record of the case and need not be moved into evidence.
 - The administrative law judge should render a written decision no later than 90 days after the closing of the record.
 - The decision of the administrative law judge shall constitute final action by the Secretary of Labor unless, within 21 days after the receipt of the decision of the administrative law judge, a party dissatisfied with the decision, or any part thereof, has filed exceptions with the Secretary of Labor specifically

identifying the procedures, fact, law, or policy to which exception is taken. Any exception not specifically urged shall be deemed to have been waived. Thereafter, the decision of the administrative law judge shall become the decision of the Secretary unless the Secretary of Labor, within 30 days of such filing, has notified the parties that the case has been accepted for review.

- Any case accepted for review by the Secretary of Labor shall be decided within 180 days of such acceptance. If not so decided, the decision of the administrative law judge shall become the final decision of the Secretary of Labor. [641.415]

PART 4.0 ASSESSMENT AND EVALUATION

This section presents the Department's assessment and evaluation process as it relates to the SCSEP. It also discusses quality initiatives and the need to measure customer satisfaction.

4.1 GENERAL

The Department shall assess each grantee and subgrantee to determine whether it is carrying out the purposes and provisions of SCSEP and the Act and the grant or other agreements. The Department also shall evaluate the overall program conducted under SCSEP or the Act to aid in the administration of the SCSEP. The Department and individuals designated by the Department may make site visits and conduct such other monitoring activities as determined by SCSEP needs. [641.601]

4.2 LIMITATION

In arranging for the assessment of a grantee, or the evaluation of a subgrantee, or the evaluation of the overall program under SCSEP or the Act, the Department shall not use any institution, or organization associated with any project under SCSEP.

4.3 QUALITY INITIATIVES

Program staff are encouraged to undertake initiations which will improve program services. Self assessment is one way to address improvement. Through self assessment, priority areas for improvement can be identified and steps taken to upgrade these services. DOL's *Simply Better!* is one source of information on self assessment.

4.4 CUSTOMER SATISFACTION

Program quality is closely related to the perception the enrollees have of the services they receive. Program staff should learn how to increase customer satisfaction and use it to measure the satisfaction of program participants.

One of ETA's goals is that 75% of SCSEP participants will rate the services they receive as very or extremely helpful. Program staff would make an effort to measure enrollee satisfaction.

PART 5.0 IF YOU ARE MONITORED BY THE SCSEP STAFF

The Department of Labor monitors grantees to determine whether the grantees are complying with the Act and the regulations. Senior Community Service Employment Program (SCSEP) grantees are monitored by the Division of Older Worker Programs (DOWP) federal representatives. The monitoring is done mainly on-site, at the grantee's, subgrantee's or host agencies offices. DOWP has a responsibility to monitor its grantees. At times, other DOL offices may monitor SCSEP projects.

5.1 REASONS FOR MONITORING

Grantees are identified as in need of monitoring based on one or more of such factors as:

- When the grant was last monitored;
- Information concerning possible abuse;
- Poor program performance;
- Significant change in grantee staff;
- Delinquent or inaccurate submittal of reports and responses to other requirements (e.g. Monitoring reports, audits, and performance assessments);
- Serious administrative deficiencies identified in previous monitoring reports, audit reports, and quarterly desk reviews;
- Negative audit determinations;
- Need for technical assistance.

Because of funding limitations, all grantees scheduled for on-site monitoring during the program year may not be monitored.

It is important to realize that when a grantee is selected to be monitored, it is not necessarily because of specific problems. Grantees should look at monitoring in a positive way. There are benefits from SCSEP monitoring. The project director can use the monitoring results to:

- Make decisions;
- Improve programs;
- Provide for accountability;
- Build increased support;
- Plan future activities.

5.2 HOW YOU SHOULD PREPARE FOR MONITORING

The federal representative contacts the project to arrange a mutually satisfactory date for on-site monitoring. After the date has been arranged, it is usually confirmed by a letter to the grantee. Grantees should prepare for the monitoring. The following are nine suggested steps a grantee can take to prepare for the on-site monitoring.

- 1) Notify appropriate staff.
- 2) Review Monitoring Guide used by the federal representative.
- 3) Identify key people responsible for financial, participant and grant documents.
- 4) Review all program documents (written policies and procedures for travel, personnel, accounting/fiscal; organizational chart with staff name, title and function; subcontracts/subgrants; Program Status Reports; Financial Status Reports; and latest audit) to make sure they are complete and accurate.
- 5) Provide office space, desk and telephone for the federal representative to work while on-site.
- 6) Assign staff to assist the federal representative with collecting files, reports and information during the on-site monitoring.
- 7) If possible have appropriate staff present for the entrance interview with the federal representative. During this interview, the federal representative discusses how the grantee will be monitored and answers questions.
- 8) Assist the federal representative during the on-site visit.
- 9) Have appropriate staff present for the exit interview. During this interview, the federal representative will discuss preliminary findings of the review. Grantee staff may ask questions about the findings.

5.3 CONTINUOUS SELF-MONITORING

Grantees are advised to conduct year-round self-monitoring. Through this process, project directors will be able to identify problems before they disrupt services or program compliance.

It is suggested that program staff use the SCSEP Monitoring Guide to self-monitor their grants every quarter. Using the guide, a director can periodically review a random sample of client applications and other participant records for completeness and accuracy, including:

- Participant payroll
- Accounting system
- Financial status
- Cash management procedures
- Procurement
- Property
- Travel
- Audit findings
- Staffing and staff payroll system
- Sub-recipient contracts
- Grantee linkage efforts
- Financial Status Reports
- Quarterly Progress Reports
- Planning documents and regulatory requirements

Once the self-monitoring is completed, the project director will know which sections of the program are deficient in relation to the Act, regulations, or grant agreement. Correcting the deficiencies is the next step.

5.4 BRIEF REVIEW OF THE MONITORING GUIDE

The monitoring guide covers the following items:

1. Participant Record Review
 - a. Eligibility Determination
 - b. Participant Records
2. Financial Management Integrity
 - a. Participant Payroll System
 - b. Accounting System
 - c. Financial Status Procedures
 - d. Cash Management
 - e. Procurement
 - f. Property Control
 - g. Travel Procedures
 - h. Audits
3. Administrative Review
 - a. Staffing and Staff Payroll
 - b. Grantee Self-Assessment
 - c. Grantee Linkage Efforts

4. Validation of Reported Outcomes
 - a. Financial Status Report
 - b. Quarterly Progress Report
5. Review of Statements in Planning Documents and Regulatory Requirements
 - a. Notice of Intent
 - b. Responsibility Review
 - c. Program Management Systems
 - d. Master Plan
 - e. Comprehensive Annual Plan

5.5 WHAT HAPPENS AFTER THE MONITORING

As a result of the on-site monitoring, a report is prepared by the Federal Representative identifying findings. Grantees are required "to correct deficiencies brought to the grantee's attention in writing as a result of monitoring activities, reviews and assessments." Grantees are notified of the deficiencies and findings by a letter.

5.6 SUBGRANTEE MONITORING

Since a grantee is responsible for the subgrants and contracts, grantees are advised to develop a monitoring system and conduct regular monitoring of their subgrants.

The grantee is responsible for the development, approval and operation of all contracts and subgrants, and shall require that its contractors and subgrantees adhere to the requirements of the Act, the regulations, and other applicable laws. The grantee shall also require contractors and subgrantees to maintain effective control and accountability over all funds, property and other assets covered by a contract or subgrant.

In addition, the grantee shall ensure that contractors and subgrantees maintain and make available for review by the grantee and Department of Labor all records pertaining to the operations of programs under the contract and subgrants.

PART 6.0 OPERATIONS MANUAL

The objective of this operations manual is to provide general policy and procedural guidelines for SCSEP sponsors and staff. Citations refer to Title V of the Older Americans Act and/or to SCSEP governing regulations. A [GP] indicates that further details on a particular policy or procedure may be found in Part 8.0, Good Practices.

Additional information on specific topic areas may be found in Older Worker Bulletins.

6.1 PRIMARY PURPOSES OF PROJECT

The dual primary purposes of a project are to provide meaningful part-time community service assignments for persons with low incomes who are 55 years or older, while providing transition to unsubsidized employment. Grantees and subgrantees must develop appropriate work assignments for eligible individuals which will result in the provision of community services as defined in sections 501(b) and 507(2) of the Act, and 641.102 of this part and will promote unsubsidized employment opportunities. [Sec. 501(b), Sec. 507(2), 641.102, 641.301(b)] (Community services are described in Section 1.1 of the handbook.)

6.2 GRANTEE AND SUBGRANTEE RESPONSIBILITIES

Grantees or subgrantees are required to provide eligible individuals wages, for community service assignments, and provide skill enhancement opportunities, periodic physical examinations, personal and employment-related counseling, assistance in transition to unsubsidized employment where feasible, and other benefits as approved by the Department.

Grantees and subgrantees are responsible for:

- Following and enforcing all requirements set forth in the Act and regulations;
- Implementing and carrying out projects in accordance with the provisions of the grant agreement; and
- Assuring that, to the extent feasible, such projects will serve the needs of minority, limited English-speaking, Indian eligible individuals and eligible individuals who have the greatest economic need, at least in proportion to their numbers in the state, and take into consideration their rates of poverty and unemployment based on the best available information. [Sec. 502(b)(1)(M), 641.302]

6.3 COOPERATIVE RELATIONSHIPS [GP]

A grantee or subgrantee must, to the maximum extent feasible, cooperate with other agencies, including activities conducted under the JTPA to provide services to elderly persons

and to persons with low incomes, and with agencies providing employment and training services. The cooperation must include, but not be limited to:

- Selection of community service assignment occupational categories, work assignments, and host agencies to provide a variety of community service opportunities for enrollees and to produce a variety of federally funded services which respond to the community's total needs and initiatives;
- Establishment of cooperative relations with the state agency on aging designated under section 305(a)(1) of the Act and with Area Agencies on Aging designated under section 305(a)(2) of the Act for the purpose of obtaining services as authorized under Titles II, IV and VI of the Act to increase the likelihood of receipt of employment opportunities and supportive services that are available. Existing services provided under the authority of section 321(a) of the Act must be used by the grantee or subgrantee;
- Cooperative relations must be established with other employment and training organizations including the state and local JTPA and the Carl D. Perkins Act programs to insure that project enrollees can benefit from such cooperative activities as dual eligibility, shared assessments, training and referral;
- Establishment of cooperative relations with state employment security agencies to insure that enrollees are made aware of services available from these agencies;
- Whenever a national organization or other program sponsor conducts a project within a planning and service area in a state, such an organization or program sponsor must conduct such a project in consultation with the area agency on aging of the planning and service area and must submit to the state agency and the area agency on aging a description of such project to be conducted in the state including the location of the project, 30 days prior to undertaking the project, for review and comment to assure efficient and effective coordination of programs under this part. [641.303, GP]

6.4 RECRUITMENT AND SELECTION OF ENROLLEES

Grantees and subgrantees shall use methods of recruitment and selection (including notifying the state employment security agency when vacancies occur) which will assure that the maximum number of eligible individuals will have an opportunity to participate in the program. Recruitment efforts shall be designed, to the extent, feasible, to assure equitable distribution of services to groups described in 641.302(e). [Sec. 502(b)(1)(H), 641.304, GP]

6.5 DETERMINATION OF ELIGIBILITY

A grantee or subgrantee must obtain and record the personal information necessary for a proper determination of eligibility for each individual and must maintain adequate documentation supporting the enrollment of eligible persons. Each grantee or subgrantee is responsible for assuring and documenting the eligibility of each enrollee. [641.302]

6.6 ELIGIBILITY REQUIREMENTS

- Eligibility selection criteria apply to all SCSEP applicants and enrollees, including (a) each individual seeking initial enrollment; (b) individuals seeking reenrollment after termination from the SCSEP because of loss of unsubsidized employment through no fault of their own, including illness; and (c) enrollees seeking recertification for continued enrollment.

To be eligible for initial enrollment, each individual shall meet the criteria for age, income, and place of residence:

Age Each individual shall be no less than 55 years of age. No person whose age is 55 years or more shall be determined ineligible because of age, and no upper age limit shall be imposed for initial or continued enrollment.

Income The income of an individual, or of the family of which the individual is a member will not exceed the low income standards defined in 641.102 of the regulations and issued annually by the Department of Labor. In addition, a disabled person may be treated as a "family of one" for income eligibility purposes.

Residence Each individual, upon initial enrollment, shall reside in the state in which the project is authorized. The term "residence" shall mean an individual's declared permanent dwelling place. No requirement pertaining to length of residency prior to enrollment shall be imposed. [Sec. 502, 641.102, 641.305, GP]

6.7 NO ADDITIONAL ELIGIBILITY REQUIREMENT

A grantee or subgrantee shall not impose any additional condition or requirement for enrollment eligibility unless required by federal law. [641.305(c)]

6.8 APPLICANT ASSISTANCE

Applicants who are determined to be ineligible for the SCSEP should be given a reason for non-

enrollment and, when feasible, should refer the applicant to other potential sources of assistance. [641.305(e), GP]

6.9 DUAL ELIGIBILITY

Individuals eligible under SCSEP who are enrolled in a joint program established under a written financial or non-financial agreement to jointly operate programs with JTPA will be deemed to satisfy the requirements of JTPA Title II-A. [641.305(d),GP]

6.10 ENROLLMENT PRIORITIES

Enrollment priorities, from highest to lowest, for filling vacant authorized positions will be:

1. Eligible individuals with the greatest economic need, which means the need resulting from an income level at or below the federal poverty line based on guidelines provided annually by the Department;
2. Eligible individuals who are 60 years old or older; and
3. Eligible individuals who seek re-enrollment following termination of a job through no fault of their own due to illness or engaging in unsubsidized employment, provided that re-enrollment is sought within one year of termination.

Within all enrollment priorities, those persons with poor employment prospects shall be given preference. Poor employment prospects means those eligible individuals who are unable to obtain employment without the assistance of SCSEP or other employment and training programs. Persons with poor employment prospects include, but are not limited to, those without a substantial employment history, basic skills, and English-language proficiency, or are displaced homemakers, school dropouts, disabled veterans, or homeless.

Enrollment priorities established in this section apply to all vacant community service positions, but shall not be interpreted to require the termination of any eligible enrollee. The priorities do not apply to experimental private sector projects authorized by section 502(e) of the OAA. [Sec.502(b)(1)(m), Sec. 507(1), 641.306]

6.11 RECERTIFICATION

Grantees or subgrantees must recertify the income of each enrollee each project year, according to the schedule set forth in the grant agreement and maintain adequate documentation to support the recertification. Enrollees found to be ineligible for continued enrollment because of income shall be given, by the grantee or subgrantee, a written notice of termination and shall be terminated 30 days after the notice. No enrollee shall participate in a community service position for more than 12

months without having his or her income recertified. [641.305(e)(1), GP]

6.12 SPECIAL RESPONSIBILITIES OF GRANTEE ELIGIBILITY

False Information: If at any time a grantee or subgrantee determines that an enrollee was incorrectly declared eligible as a direct result of false information given by that individual, the individual shall be given a written notice explaining the reason or reasons for the determination and terminated immediately.[GP]

Incorrect Determination: If at any time a grantee or subgrantee determines that an enrollee was incorrectly declared eligible through no fault of the enrollee, the grantee or subgrantee shall give the enrollee immediate written notice explaining the reason or reasons for termination, and the enrollee shall be terminated 30 days after the notice.

Determination of Ineligibility: When a grantee or subgrantee makes an unfavorable determination on continued eligibility, it shall explain in writing to the enrollee the reason or reasons for the determination and of the right of appeal in accordance with required procedures set forth in 641.324 of the regulations.

Unfavorable Determination of Eligibility: When a grantee or subgrantee makes an unfavorable determination of enrollment eligibility, the grantee or subgrantee should assure that the individual is referred to other potential sources of assistance. [641.305(e)]

6.13 ORIENTATION

A thorough and detailed orientation must be provided to each enrollee and to each host agency supervisor.

Enrollee After an individual enrolls in community service employment, each grantee or subgrantee must, as soon as practicable, provide orientation to the project. The orientation shall provide, as appropriate, each new enrollee with information related to project objectives; community service employment assignments; training; supportive services; responsibilities, rights, and duties of an enrollee; permitted and prohibited political activities; plans for transition to unsubsidized employment, and a discussion of safe working conditions at each host agency.

Host Agency Each grantee or subgrantee must provide a similar orientation for those who will supervise each enrollee at each host agency to assure that enrollees receive adequate supervision and opportunities for transition to the host agency staff or to other unsubsidized employment. A grantee or subgrantee also must ensure that host agencies provide adequate orientation, instruction, and supervision for enrollees regarding responsibilities and safety. [641.308, GP]

6.14 ASSESSMENT AND REASSESSMENT OF ENROLLEES

A grantee or subgrantee must assess each enrollee to determine the most suitable SCSEP assignment for the individual and to identify appropriate employment, training community service objectives for that individual. The assessment must be in consultation with the new enrollee and must consider the individual's preference of occupational category, work history, skills, interests, talents, physical capabilities, need for supportive services, aptitudes, potential for performing proposed community service employment duties, and potential for transition to unsubsidized employment.

Assessment of physical capabilities The assessment of each enrollee shall take into consideration his or her physical capabilities. Assessments of physical ability shall be consistent with section 504 of the Rehabilitation Act of 1973, as amended (section 504) and the Americans with Disabilities Act of 1990 (ADA).

Assessments prepared by another employment or training program Assessments of an enrollee, prepared by another employment or training program (such as a program under the JTPA or the Carl D. Perkins Vocational and Applied Technology Act) may be substituted for one prepared by the grantee or subgrantee if the training program prepared the assessment within the last year prior to applying for SCSEP. [Sec. 502(b)(1)(M), 641.309]

6.15 INDIVIDUAL DEVELOPMENT PLAN (IDP) AND PERIODIC REVIEW

The grantee or subgrantee shall use the assessment or reassessment as a basis for developing or amending an Individual Development Plan (IDP). The IDP must be developed and amended in partnership with the enrollee to reflect the needs of the enrollee as indicated by the assessment and as indicated by the expressed interests and desires of the enrollee.

The grantee or subgrantee must review the IDP at least once a program year (or more often, if appropriate) to evaluate the progress of each enrollee in meeting the objectives of the IDP; to determine each enrollee's potential for transition to unsubsidized employment; to determine the appropriateness of each enrollee's current community service assignment; and to review progress made toward meeting their training and employment objectives. [641.309, GP]

6.16 IDP AND ASSESSMENT REQUIREMENTS

The assessments and reassessments used to prepare an IDP as required by the regulations must meet minimum standards issued by the Department. Subsequent determinations must be documented in the enrollee's IDP and must become a part of each enrollee's permanent record. [641.309, GP]

6.17 ASSIGNMENT AND REASSIGNMENT

The grantee or subgrantee must seek a community service employment assignment which permits the most effective use of each enrollee's skills, interests and aptitudes. After periodic review of the IDP, the grantee should make another assignment if feasible, should there be a determination that a different community service assignment will (a) provide greater opportunity for use of an enrollee's skills and aptitudes; (b) provide work experience which will enhance the potential for unsubsidized employment; or (c) otherwise serve the best interests of an enrollee. [641.309, GP]

6.18 COMMUNITY SERVICE ASSIGNMENTS

After the completion of an enrollee's orientation and initial training, if any, the grantee or subgrantee must refer the enrollee, as soon as possible, to a useful part-time community service assignment, if appropriate according to the IDP.

Each enrollee must be placed in a community service assignment which contributes to the general welfare of the community and provides services related to publicly-owned and operated facilities and projects, or projects sponsored by organizations other than political parties, exempt from taxation under the provisions of section 501 (c) (3) of the Internal Revenue Code of 1986. Project sponsors may provide enrollees with opportunities to assist in the administration of the SCSEP to the fullest extent feasible.

The enrollee must not be assigned to work involving the construction, operation, or maintenance of any facility used or to be used as a place for sectarian religious instruction or worship, or to work which primarily benefits private, profit making organizations. [Sections 502(b)(1)(A),(C) and (D), and 507(2), 641.310, GP]

6.19 HOURS OF COMMUNITY SERVICE ASSIGNMENTS

Each enrollee's community service assignment must not exceed 1,300 hours during any 12-month period. The 1,300 hours includes paid hours of orientation, training, sick leave, and vacation and hours of enrollment provided by all grantees and subgrantees. No enrollee will be paid for more than 1,300 hours in any 12-month period. A grantee or subgrantee cannot require an enrollee to participate more than 20 hours in a; however, hours may be extended with consent of the enrollee. The grantee or subgrantee shall not offer an enrollee an average of fewer than 20 hours of paid participation per week. Shorter periods may be authorized by the grant agreement; in writing by the Department; or by written agreement between an enrollee and a grantee or subgrantee.

A grantee or subgrantee shall, to the extent possible, ensure that an enrollee works during normal business hours, if the enrollee so desires. [Sec. 508(a)(2), 641.310, GP]

6.20 LOCATION OF ASSIGNMENTS AND WORKING CONDITIONS

Location: Enrollees shall be employed at work sites in or near their home communities.

Working Conditions: Enrollees shall not be permitted to work in buildings or surroundings or under conditions which are unsanitary, hazardous, or dangerous to health or safety. A grantee or subgrantee shall make periodic inspections of enrollees' work site (s) to assure that the working conditions and treatment of the enrollee are consistent with the Act and the regulations. [Sec. 502(b)(1)(B)(j), 641.310, GP]

6.21 MONITORING

A grantee must monitor periodically the performance of grant-supported activities to assure that project goals are being achieved and that requirements of the Act and regulations are being met. A grantee is directly responsible for the performance of all activities implemented directly by the grantee or through subproject agreements. [641.302, GP]

6.22 ENROLLEE WAGES AND FRINGE BENEFITS

Wages: Upon engaging in part-time community service assignments, including orientation and training in preparation for community service assignments, each enrollee shall receive wages at a rate no less than the highest applicable rate:

- The minimum wage which would be applicable to the enrollee under the Fair Labor Standards Act of 1938;
- The state or local minimum wage for the most nearly comparable covered employment; or
- The prevailing rates of pay for persons employed in similar public occupations by the same employer.

Fringe Benefits: A grantee or subgrantee shall ensure that enrollees receive all fringe benefits required by law. Within a project or subproject, fringe benefits shall be provided uniformly to all enrollees, unless the Department agrees to waive this provision due to a determination that such a waiver is in the best interests of applicants, enrollees and the project administration.

Physical examination: Each enrollee must be offered the opportunity to take a physical examination annually. A physical is a fringe benefit, and is not an eligibility criteria. The examining physician shall provide, *to the enrollee only*, a written report of the results of the examination. The enrollee may, at his or her option, provide the grantee or subgrantee a copy of the report. The results of the physical examination shall not be taken into consideration in determining placement into a community service assignment.

An enrollee may refuse the physical examination offered. In such a case, the grantee or subgrantee must document this refusal, through a signed waiver or other means, within 60 work days after commencement of the community service assignment.

Retirement: Expenditures of grant funds for contributions into a retirement system or plan are prohibited, unless the grantee has documentation on hand showing that:

- The costs are allowable under the appropriate cost principles [641.403(b)], and;
- Such contributions bear a reasonable relationship to the cost of providing such benefits to enrollees because:
 - the benefits vest at the time contributions are made for the enrollee; or
 - the charges to SCSEP funds are for contributions on behalf of enrollees to a "defined benefit" type (a system or plan under which a specified benefit is promised employees at retirement) of plan which does not exceed the amounts reasonably necessary to provide the specified benefit to the enrollee, as determined under a separate actuarial determination.

Workers' Compensation: Where an enrollee is not covered by the state workers' compensation law, the grantee or subgrantee shall provide the enrollee with workers' compensation benefits equal to that provided by law for covered employment.

Unemployment Compensation: The grantee is authorized to pay the cost of unemployment insurance for covered enrollees, where required by law.

Allowable Costs: The cost of the following fringe benefits are allowable: initial and annual physical examinations, paid annual leave, paid sick leave, paid holidays, health insurance, and any others approved by the Department and permitted by the appropriate federal cost principles found in OMB Circular A-110 and A-87. [Sec. 502(b)(1)(O), 504(b), 641.311, 641.403(b), GP]

6.23 ENROLLEE SUPPORTIVE SERVICES

The grantee or subgrantee must provide supportive services designed to assist the enrollee in participating successfully in community service assignments and, where appropriate, to prepare and assist the enrollee in obtaining unsubsidized employment. To the extent feasible, the grantee or subgrantee shall utilize supportive services available from other titles of the Older Americans Act, particularly those administered by area agencies on aging and other funding sources. Supportive services may include, but need not be limited to:

- Counseling or instruction designed to assist the enrollee to participate successfully in community service assignments or to obtain unsubsidized employment;
- Counseling designed to assist the enrollee personally in areas such as health, nutrition, social security benefits, Medicare benefits and retirement laws;
- Incidentals, including, but not limited to: work shoes, badges, uniforms, safety glasses and hand tools may be provided if necessary for successful participation in community service assignments and if not available from other sources;
- Periodic meetings on topics of general interest, including matters related to health,

- job seeking skills, safety and consumer affairs;
- Costs of enrollee transportation if transportation from other sources at no cost to the project is unavailable and such unavailability is documented. When authorized in the grant agreement, transportation may be provided for enrollees from home to work, to training or to supportive services; [Sec. 502(b)(1)(L), 641.312(5)]
- Grant funds may not be expended to support the transportation costs of host agencies or programs funded by other than SCSEP of the Older Americans Act, except where provided by federal law. [641.312]

6.24 TRAINING

The grantee or subgrantee shall provide or arrange for training specific to an enrollee's community service assignment. Training may be provided through lectures, seminars, classroom instruction, individual instruction or other arrangements including, but not limited to, arrangements with employment and training programs. The grantee or the subgrantee is encouraged to obtain such services through locally available resources, including employment and training programs, as defined in 641.103 and through host agencies, at no cost or reduced cost to the project. [Sec. 502(b)(1)(1)]

Training shall consist of up to 500 hours per grant year and shall be consistent with the enrollee's IDP. Such training may cover all aspects of training; e.g., skill training and job search. Enrollees shall not be enrolled solely for the purpose of receiving job search and job referral services. Waivers for additional hours of training will be considered on an exception basis.

In addition to training in preparation for community service assignments, as described in the regulations, a grantee or subgrantee is encouraged to arrange for, or directly provide, training opportunities which will permit the enrollee to acquire or improve skills such as literacy training needed for unsubsidized employment.

A grantee or subgrantee, to the extent feasible, shall arrange skill-training for the enrollee which is realistic and consistent with his or her IDP. A grantee or subgrantee shall place major emphasis on the training available through on-the-job experience at SCSEP work sites, thereby retaining the community service focus of the SCSEP.

An enrollee engaging in skills-related training may be reimbursed for the documented travel costs and room and board necessary to engage in such training. [Sec. 502(b)(1)(I)]

A grantee or subgrantee shall seek to obtain all training for enrollees, whenever possible, at reduced or no cost to SCSEP from such sources as the JTPA and the Carl D. Perkins Vocational and Applied Technology Education Act. Where training is not available from other sources, SCSEP funds may be used for training.

Nothing in this section shall be interpreted to prevent or limit an enrollee from engaging in self-

development training available from sources other than SCSEP of the Act during hours other than hours of community service assignment.

Joint programming, including co-enrollment when appropriate, between SCSEPs and programs authorized by the Job Training Partnership Act, the Community Services Block Grant Act, or the Carl D. Perkins Act, is strongly encouraged. [641.313, GP]

Experimental Private Sector Training Projects: The Department may authorize a grantee to develop an experimental job training project to provide second career training and placement of eligible individuals in employment opportunities with private business concerns. [Sec. 502(e)]

Experimental project agreements for training may be with states, public agencies, non-profit organizations and private business concerns.

The geographic location of these projects shall be determined by the Department to insure an equitable distribution of such projects.

To the extent feasible, experimental projects shall emphasize second-career training and innovative work modes, including those with reduced physical exertion; placement into growth industries; and jobs reflecting new technologies.

The Department shall establish by administrative guidelines the application schedule, content, format, allocation levels and reporting requirements for experimental projects. Separate Quarterly Progress Reports and annual Financial Status Reports are required for each experimental training project.

Current SCSEP eligibility standards shall be used for experimental projects unless the Department permits, in writing, the use of another approved income index.

Projects funded under section 502(e) of the Act shall seek to be coordinated with projects carried out under Title II-A of the JTPA to the extent feasible. National grantees shall distribute funds for experimental projects in accordance with the state allocation in their SCSEP grant.

A grantee may exclude a project, permitted under section 502(e) of the Act, from meeting the non-federal share; however, this exclusion does not relieve the grantee from the matching requirement, under 641.407, which applies to the entire grant. [641.326, GP]

6.25 UNSUBSIDIZED EMPLOYMENT

In order to ensure that the maximum number of eligible individuals have an opportunity to participate in community service assignments, the grantee or subgrantee shall employ reasonable

means to place each enrollee into unsubsidized employment.

To encourage the placement of the enrollee into an unsubsidized job, the Department has established a goal of placing into unsubsidized employment the number of enrollees which equals at least 20 percent of the project's annual authorized positions. Whenever this goal is not achieved, the grantee shall develop and submit a plan of action for addressing this shortfall.

A grantee or subgrantee should contact private and public employers directly or through the state employment agencies to develop or identify suitable unsubsidized employment opportunities; and should encourage host agencies to employ enrollees in their work forces.

The grantee or subgrantee shall follow-up on each enrollee who is placed into unsubsidized employment and shall document such follow-up at least once within 3 months of unsubsidized placement. [641.314, GP]

6.26 MAXIMUM DURATION OF ENROLLMENT

A maximum duration of enrollment may be established by the grantee in the grant agreement, when authorized by the Department. Time limits on enrollment shall be reasonable and IDPs shall provide for transition to unsubsidized employment or other assistance before the maximum enrollment duration has expired. [641.315, GP]

6.27 INDIVIDUAL DEVELOPMENT PLAN-RELATED TERMINATION

When an enrollee refuses to accept a reasonable number of referrals or job offers to unsubsidized employment consistent with his or her IDP and there are no extenuating circumstances, the enrollee may be terminated from the SCSEP. Such a termination shall be consistent with administrative guidelines issued by the Department and the termination shall be subject to the applicable appeal rights and procedures described in the grant. [641.316, GP]

6.28 TERMINATION FOR CAUSE

When a grantee or subgrantee terminates an enrollee for cause, the grantee or subgrantee shall inform the enrollee in writing of the reason or reasons for termination and of the right of appeal in accordance with required procedures set forth in 641.324 of the regulations.[GP]

6.29 STATUS OF ENROLLEES

Enrollees who are employed in any project funded under the Act are not federal employees as a result of such employment. [Sec. 504(a), 641.317]

6.30 OVER-ENROLLMENT

Should attrition or funding adjustments prevent a portion of project funds from being fully utilized, the grantee may use those funds during the period of the agreement to over-enroll additional eligible individuals. The number over-enrolled may not exceed 20 percent of the total number of authorized positions established under the grant agreement without the written approval of the Department. Payments to or on behalf of enrollees in such positions shall not exceed the amount of the unused funds available. Each individual enrolled in such a position shall be informed in writing that the assignment is temporary in nature and may be terminated. The grantee shall first seek to maintain full enrollment in authorized positions and shall seek to schedule all enrollments and terminations to avoid excessive terminations at the end of the grant period. [641.318, GP]

6.31 POLITICAL PATRONAGE

No grantee or subgrantee may select, reject, promote or terminate an individual based on that individual's political affiliations or beliefs. The selection or advancement of enrollees as a reward for political services, or as a form of political patronage, is prohibited. There shall be no selection of subgrantees or host agencies based on political affiliation. [641.320]

6.32 POLITICAL ACTIVITIES

No project under the Act may involve political activities.

No enrollee or staff person may be permitted to engage in partisan or nonpartisan political activities during hours for which they are paid with SCSEP funds.

No enrollee or staff person, at any time, may be permitted to engage in partisan political activities in which such enrollee or staff person represents himself or herself as a spokesperson of the SCSEP.

No enrollee may be employed or out-stationed in the office of a Member of Congress, a state or local legislator, or on any staff of a legislative committee. No enrollee may be employed or out-stationed in the immediate office of any elected chief executive officer(s) of a state or unit of general government, except that:

- Units of local government may serve as host-agencies for enrollees in such positions, provided that such assignments are nonpolitical; and
- Where assignments are technically in such offices, such assignments actually are program activities not in any way involved in political functions.

No enrollee may be assigned to perform political activities in the offices of other elected officials. However, placement of enrollees in such nonpolitical assignments within the offices of such elected officials is permissible, provided that grantees develop safeguards to ensure that enrollees placed in these assignments are not involved in political activities. These safeguards shall be described in the grant agreement and shall be subject to review and monitoring by the grantee and the Department. [641.321]

6.33 HATCH ACT

State and local employees governed by 5 U.S.C. Chapter 15 shall comply with the Hatch Act provisions as interpreted and applied by the Office of the Special Counsel.

Each project subject to 5 U.S.C. chapter 15 shall display a notice and shall make available to each person associated with such project a written explanation, clarifying the law with respect to allowable and unallowable political activities under 5 U.S.C. chapter 15 which are applicable to the project and each category of individuals associated with such project. This notice, which shall have the approval of the Department, shall contain the telephone number and address of the DOL Inspector General. Enforcement of the Hatch Act shall be provided at 5 U.S.C. chapter 15. [Sec. 502 (b)(1)(P), 641.321]

6.34 UNIONIZATION

No funds provided under SCSEP or this part may be used in any way to assist, promote, or deter union organizing. [641.322]

6.35 NEPOTISM

No grantee or subgrantee may hire, and no host agency may be a work site for a person who works in an administrative capacity, staff position, or community service position funded under SCSEP or this part if a member of that person's immediate family is engaged in a decision-making capacity (whether compensated or not) for that project, subproject, grantee, subgrantee or host agency. This provision may be waived by the Department at work sites on Native American reservations and rural areas provided that adequate justification can be documented, such as that no other persons are eligible for participation.

To the extent that an applicable state or local legal requirement regarding nepotism is more restrictive than this provision, that requirement shall be followed.

Immediate family means wife, husband, son, daughter, mother, father, brother, sister, son-in-law, daughter-in-law, mother-in-law, father-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, stepparent, stepchild, grandparent and grandchild.

Engaged in an administrative capacity includes those person who, in the administration of projects or host agencies, have responsibility for, or authority over, those with responsibility for the selection of enrollees from among eligible applicants.

6.36 ENROLLEE AND APPLICANT COMPLAINT RESOLUTION

Each grantee or subgrantee shall establish in the grant agreement procedures for resolving complaints arising between the grantee or subgrantee and an enrollee. Complaints alleging violations of federal law or discrimination are not handled within a grantee's resolution procedure, but are handled directly the Department as described in the next two paragraphs.

Allegations of violations of federal law, other than those described in the next paragraph, which cannot be resolved within 60 days as a result of the grantee's procedures may be filed with the Chief, Division of Older Worker Programs, Employment and Training Administration, U.S. Department of Labor, Washington, D.C. 20210

Grantees that do not receive any funds under the JTPA shall process complaints of discriminating in accordance with Title 29 CFR parts 31 and 32. Grantees that receive any funds under JTPA shall process complaints of discriminating in accordance with Title 29 CFR part 34.

Except for complaints described in the above paragraphs of this section, the Department shall limit its review to determining whether the grantee's appeal procedures were followed. [641.324]

6.37 MAINTENANCE OF EFFORT

Employment of an enrollee funded under the Act shall be only in addition to budgeted employment which would otherwise be funded by the grantee, subgrantee and the host agency(ies) without assistance under the Act.

Projects funded under the Act (a) should result in an increase in employment opportunities in addition to those which would otherwise be available; (b) shall not result in the displacement of currently employed workers, including partial displacement such as a reduction in hours on non-overtime work, wages or employment benefits; (c) shall not impair existing contracts for service or result in the substitution of federal funds for other funds in connection with work that would otherwise be performed; (d) shall not substitute project jobs for existing federally-assisted jobs; and (e) shall not employ or continue to employ an enrollee to perform work which is the same or substantially the same as that performed by any other person who is on layoff. [Sec. 502 (b) (1) (F), 641.325]

PART 7. RESERVED

PART 8.0 GOOD PRACTICES

In this section, some of the major SCSEP procedures in Part 6.0, SCSEP Operations Manual, are discussed in further detail. The information here is not intended to be inclusive; its purpose is to present suggestions for implementing some of the regulations in earlier sections of the handbook. Three resource manuals for SCSEP practitioners are referenced here. These manuals: "Using Public Relations to Market Older Workers,"[PR]; "How to Help SCSEP Enrollees Find Jobs,"[JD]; and "Using Motivation and Training to Increase Unsubsidized Placements,"[M T]; were developed by the National Senior Citizens Education & Research Center, Inc. (NSCERC). They are available through the Department of Labor's Division of Older Worker Programs.

8.1 OLDER WORKER BULLETINS

The Division of Older Worker Programs issues Older Worker Bulletins on various subjects. The subjects addressed in the Older Worker Bulletins focus on matters of policy, procedures and subjects of general interest to all SCSEP sponsors. All bulletins provide purposes, backgrounds and references. Where action is required, the bulletins provide the specific steps sponsors need to take to effect the directives. Older Worker Bulletin No. 97-30, Index of Older Worker Bulletins Issued Between January 1976 and October 1997, is included in the handbook as Appendix B. Updated appendices will be issued periodically in the future

Older Worker Bulletins provide essential information to the operators of SCSEP projects. Program staff **should** maintain an updated library of the bulletins. They should be available for easy reference, since they provide information on current SCSEP practices and procedures. The most important Older Worker Bulletins and recent bulletins are now on the internet.

8.2 COOPERATIVE RELATIONS

SCSEP project staff members should establish and maintain cooperative relationships with a broad range of contacts, including community groups, service agencies and business organizations. This helps staff select community service employment occupational categories, assignments and host agencies which represent a variety of community service activities. The agencies selected should incorporate services which meet the needs of the individual as well as the needs of the community being served. A widely diversified network of relationships will also be useful in helping the project locate training options for enrollees gain the visibility in the community. [PR]

8.2.1 Equitable Distribution of SCSEP Positions

It is imperative that SCSEP sponsors work cooperatively to achieve equitable distribution of SCSEP positions. Sponsors are expected to increase the number of positions in under-served areas and decrease the number in over-served areas. To do this sponsors need to work together, using the most recent equitable distribution reports. Counts must be based on enrollees' places of residence, not on host agency sites. A cooperative approach is essential to assuring the distribution of program resources is fair and equitable.

Sponsors are expected to assure that they do not place enrollees in host agencies which are being served by enrollees from another SCSEP sponsor. This constitutes duplication of effort and it is not productive for the enrollees or the program.

8.2.2 Other SCSEP Projects

Cooperative relationships should be maintained with other state and local project sponsors operating in the service area. To promote cooperative relationships, the Department of Labor's DOWP periodically convenes **regional older worker conferences** for SCSEP practitioners. These conferences provide information and guidance on regulatory and procedural issues. They also provide "train the trainer" sessions on topics of general interest to program staff. The conferences offer an excellent opportunity for staff from different SCSEP programs to interact and share ideas and best practices. It is particularly important that new program staff members attend these conferences to benefit from the training offered and to meet and interact with their counterparts and DOWP staff.

Peer-to-Peer Technical Assistance and Training - The DOWP has instituted a national system to use the expertise of individuals who are knowledgeable in certain program and administrative areas to assist staff in other programs. This system provides for experienced, specifically skilled grantees to deliver technical assistance or training to other grantees desiring specialized training. One of the features of the Peer-to-Peer TAT system will be the use of technology to exchange information among grantees, using the ETA Older Workers Homepage on the Internet. A special section will be devoted to SCSEP Peer-to-Peer TAT information exchange. This will be the place where program staff can go to seek "how to" information on a variety of program and administrative issues.

8.2.3 Area Agencies on Aging

SCSEP sponsors should develop a mechanism for exchanging information regarding worksites with Area Agencies on Aging (AAAs).

SCSEP staff may also work with AAA staff to increase job opportunities available and the likelihood that eligible individual will receive necessary support services.

8.2.4 State Employment Service Agencies

SCSEP project sponsors should create an ongoing network with the appropriate office of the state employment service upon the establishment of the SCSEP project. A working relationship with the state employment service is very useful for facilitating:

- Recruitment and referral of eligible individuals for enrollment as SCSEP enrollees;
- The listing of enrollees in the active job applicant files of the employment service;
- The referral and placement of enrollees into unsubsidized employment.

Placement of program enrollees in these agencies as older worker specialists has worked well for both SCSEP projects and for the Employment Service. [JD]

8.2.5 Other Publicly Supported Training

Every effort should be made to work cooperatively with agencies providing employment and/or training activities conducted under the Job Training Partnership Act (29 U.S.C. 1534) or other publicly supported training programs.

The Job Training Partnership Act (JTPA) SCSEP projects differ in their structures and have differing relationships with JTPA providers. Some SCSEP projects are also JTPA providers, some have close working relationships with JTPA providers, some have no interaction. Good relationships between SCSEP and JTPA projects work to the advantage of both groups. Currently SCSEP enrollees are eligible for training under JTPA's services to older workers and to low-income adults. With written agreements SCSEP enrollees are automatically eligible for JTPA services, allowing them to access free training while being paid SCSEP wages. [JD,MT]

One-Stop Centers One of the Department of Labor's proposed strategies for improving services to older workers is the strengthening and development of linkages with other employment and training providers. The One-Stop Career Center System serves both job seekers and employers, integrating employment and training programs and services to a maximum degree. One-Stop Career Centers offer SCSEP sponsors an opportunity to efficiently improve their linkages with multiple service providers.

SCSEP projects should get involved in the One-Stop Center planning process as early as possible. The One-Stop Career Center systems are continuously improving so there should always be room for more customers. SCSEP projects may serve as a referral source for the One-Stop Center, or they may provide some staff assistance to the One-Stop through computer links or a physical presence. It is not inconceivable that a SCSEP project could be the operator of a One-Stop. One Stops can provide enrollees with information, training, social security information, access to the aging network and other important services.

8.2.6 Dual Eligibility

Enrollment simultaneously in two publicly funded training programs offers employment and training entities opportunities to coordinate activities in a way that is beneficial to both parties. Written agreements are required for these co-enrollments. Those who are eligible for SCSEP are automatically eligible for JTPA services. Of course, the JTPA sponsor must determine who will actually be selected for the training or activity. Where there is a joint agreement, an eligible JTPA Title II eligible participant may be enrolled in SCSEP with no further need for separate SCSEP eligibility determination and certification.

A sample of a memorandum of understanding between an SCSEP project and a JTPA program can be found in Appendix C.

Sponsors with joint SCSEP/JTPA agreements may enroll persons aged 55 and over who have been certified eligible under Title II of JTPA. This will enable joint projects to implement close coordination and provide equal access for services to everyone in a joint project. [MT]

8.3 COMMUNITY AWARENESS

Information and activities should be developed which create community awareness of the SCSEP in the area being served. The local media can be accessed by preparing and disseminating news releases, human interest stories, letters to the editors and public service announcements. Publicizing "Hire the Older Worker Week," and other SCSEP activities in newspapers, on the radio and television keeps the community aware of the program and helps in recruiting enrollees and in increasing unsubsidized placements. [PR]

8.4 RECRUITING

Methods of recruitment and selection should be used which will assure that the maximum number of eligible individuals will have an opportunity to participate in the project. Each project sponsor should recruit sufficient numbers of eligible individuals to be enrolled by the project sponsor. Where appropriate, each enrollment vacancy should be listed with the public state employment service office.

Recruitment efforts should be designed to assure that each authorized permanent and additional position is filled to the maximum extent possible as well as assure equitable participation of minority and handicapped individuals.

Enrollment vacancies should be kept to a minimum. Each SCSEP project should also maintain a list of eligible applicants for the purpose of filling vacancies promptly. There should be no recruitment to fill specific vacancies. It is inappropriate to recruit a "driver." It is appropriate to recruit SCSEP eligible persons and then find suitable community service opportunities which meet their needs.

[PR,JD]

8.5 APPLICANT ASSISTANCE

When applicants are determined to be ineligible for the SCSEP program they should be provided with information about other programs and opportunities in the local community. Resources at SCSEP projects should include information on volunteer programs like RSVP, Senior Companions and Foster Grandparents. Program staff can also share their knowledge of local job markets and services provided by the state employment service, one-stop centers and other public employment and training services. Some applicants need to be referred to social service agencies. Reaching out a hand to help people in the community is an important function of program staff. [MT]

8.6 ELIGIBILITY

Eligibility standards for all Senior Community Service Employment Programs are age, income, and place of residence. The criteria for age and income apply to all applicants and to enrolled SCSEP enrollees being recertified for continued eligibility. The criterion for place of residence applies at the time of initial enrollment and at the time of reenrollment, but not at the time of recertification for continued eligibility. If desired, sponsors can set stricter standards. A sample form for eligibility verification can be found in Appendix C.

A written or electronic format must be created by grantees to provide for initial enrollments, reenrollments and recertifications. Older Worker Bulletin 96-5 provides minimum eligibility documentation requirements. SCSEP sponsors must adhere to the requirements in the attachment to this bulletin.

8.6.1 Age

To be eligible for enrollment or reenrollment as a SCSEP enrollee, an individual must be 55 years of age or older at the time that the determination of eligibility is made. No person who is 55 years of age or older may be denied eligibility because of age. No upper age limit shall be imposed.

8.6.2 Income

To be eligible for enrollment as a SCSEP enrollee, an individual must have an income or be a member of a family which has an income which does not exceed 125 percent of the income limits for economically disadvantaged persons established annually by the U. S. Department of Health and Human Services. The actual levels are released in a bulletin which is usually available in February or March.

A special income limit exception of \$500 applies to an enrolled SCSEP enrollee being recertified for continued eligibility. In addition, a person who receives cash welfare payments is eligible on the basis of income, provided age and place of residence requirements are met. A person who is a member of a family receiving cash welfare payments is eligible if that person is counted in the determination of the amount of the welfare payment. Instructions for computing annual family income are included in this section. (See also Older Worker Bulletin 95.5.) A sample form for computing income can be found in Appendix C.

8.6.2.1 Standards for Determining Number in Family and Countable Income

The definitions, methods of calculation, and types of income to be counted and not counted, which are set forth here are to be used to determine eligibility for enrollment, reenrollment, or recertification for continued eligibility in a SCSEP project.

8.6.2.2 Definition of Family

When determining the number of persons in a family for the purpose of selecting the appropriate income level for SCSEP eligibility, "family" is defined to mean:

1. Two or more persons living in a single residence who are related to each other by blood, marriage, or decree of court and are included in one or more of the following categories; a husband and wife, a husband, wife and dependent children; a parent or guardian and dependent children;
2. Any person claimed as a dependent on the Federal Income Tax Return for the previous year by the applicant;
3. Individuals living together under common law or similar arrangements who filed a joint Federal Income Tax Return for the previous year.

A person 18 years of age or older, except as described in paragraph 2 above, who receives less than 50 percent of his or her support from the family, and who is not the principal wage earner or is not the spouse of the principal wage earner, may not be considered a member of the family.

An applicant who has a disability may, for purposes of income eligibility determination, be considered to be a family unit of one.

8.6.2.3 Methods of Computing Income

Annual family income and the income for a single individual can be computed by one of two methods. The method which is more beneficial to the applicant should be used. Income which is to be counted and income which is not to be counted are described below. The two methods of computing countable family income are:

1. Income Computation Method One: Compute the actual countable income for the 12 months preceding the month of determination of eligibility.
2. Income Computation Method Two: Compute the actual countable income for six

months preceding the month of determination of eligibility and multiply by two.

Income To Be Counted The following types of income are to be counted when calculating income for the purpose of determining eligibility:

1. **Wages and Salary:** Count **total** money earnings received for work performed as an employee. Count wages received by each member of the family who is counted in determining the number in family. Count gross salary before deductions for such items as income tax, social security, bond purchases, union dues, health insurance, etc. If an individual is unemployed at the time of determination of eligibility, earnings from the individual's previous job(s) should be counted using one of the methods indicated above. Count wages received by individuals who are engaging in on-the-job training under the Job Training Partnership Act or similar skill training programs; however, stipends, allowances, and needs-based payments received from Job Training Partnership Act or similar training programs should not be counted.
2. **Self-Employment Income:** Count the net money income (gross receipts minus operating expenses) from a business firm, farm, rent or other enterprise in which a person is engaged.
3. **Other Income:** Count money received from such sources as gross social security benefits (count 75 percent of social security benefits only), pensions, and net rent. Count dividends and/or interest payments that individually or combined are in excess of \$3,000. Count periodic income from such sources as alimony, insurance annuities and receipts from estates, as well as regular support from an absent family member or someone not living in the household. Count winnings from lotteries or games of chance which are in excess of \$3,000.
4. **Certain SCSEP Wages:** If members of the same family (i.e. husband and wife) currently are enrolled in the SCSEP the wages of the other family member or members must be counted.

Income Not To Be Counted The following types of income, goods or services are not to be counted when calculating income for the purpose of determining eligibility:

1. **Non-Cash Income:** Do not count the value of food stamps, energy assistance, or compensation received in the form of food or housing.
2. **Public Assistance Payments:** Do not count any cash welfare payments received by or in behalf of the individual whose eligibility is being determined.
3. **Certain Cash Payments:** Do not count payments received pursuant to a State plan approved under Title I (Grants to States for Old-Age Assistance and Medical Assistance for the Aged), disability insurance payments received under Title II (Federal Old-Age, Survivors, Disability Insurance Benefits) of the Social Security Act, payments received under Title IV (Grants to States for Aid and Services to Needy Families with Children and for Child-Welfare services), payments received under Title X (Grants to States for Aid to Blind), and payments received under Title

XVI (Supplemental Security Income for Aged, Blind, and Disabled) of the Social Security Act.

4. **Certain Social Security Income** Do not count social security income for individuals turning age 65 who received disability payments under Title II (Federal Old-Age, Survivors, Disability Insurance Benefits) of the Social Security Act prior to age 65, for as long as the disability exists. Do not count educational financial assistance received under Title IV of the Higher Education Act (20 U.S.C. 1087 as amended by section 479(B) of the Higher Education Act amendments of 1992), or needs-based scholarship assistance.
5. **Black Lung:** Do not count disability insurance payments received under Title IV (Black Lung Benefits) of the Federal Coal Mine Health and Safety Act.
6. **Employment and Training Payments:** Do not count certain payments made to participants in employment and training activities, such as allowance payments for classroom training, stipends and grants, transportation and dependents' allowances and wages for work experience.
7. **Certain SCSEP Wages:** Do not count the SCSEP wages of the individual whose income is being determined for eligibility. Do not count the wages of another family member who earned income as an SCSEP enrollee but is not currently enrolled.
8. **Payments to Certain Volunteers:** Do not count payments to volunteers under the National Community Service Trust Act of 1993 or other similar legislation, including payments to Americorps volunteers, Senior Companions and Foster Grandparents.
9. **Capital Gains and Assets Draw Down:** Do not count uncollected capital gains and assets withdrawn from a bank account, including Individual Retirement Accounts.
10. **Unemployment Insurance Benefits and Trade Adjustment Payments:** Do not count unemployment compensation payments from federal, state, or local sources, or payments received under the Trade Re-Adjustment Act of 1988.
11. **One-time Unearned Income:** Do not count one-time unearned income or payments received for a limited fixed term under an income maintenance program; supplemental private unemployment benefit plans; one-time or fixed-term scholarship or fellowship grants; proceeds from accident, health, or casualty insurance policies; disability or death payments, including fixed term (but not lifetime) life insurance annuities and death benefits; one-time awards and gifts; inheritances, including fixed-term annuities; fixed-term workers' compensation awards; terminal (or severance) leave pay; income from the sale of one's principal residence; and \$3,000 of winnings from a lottery or game of chance. These examples of unearned income are not all inclusive, and other sources may be found. These examples are intended to provide the conceptual framework for defining one-time unearned income.
12. **Child Support:** Do not count child support payments.
13. **Payments To Veterans:** Do not count payments or allowances received while on active military duty in the armed forces. Do not count education assistance or compensation payments to veterans or other eligible persons under Chapter 11 (Dependency and Indemnity Compensation for Service Connected Death), Chapter 31 (Vocational Rehabilitation), Chapter 34 (Veteran's Educational Assistance)

Chapter 35 (War Orphans' and Widows' Educational Assistance), and Chapter 36 (Administration of Educational Benefits) of Title 38 of the United States Code.

14. **Certain Payments to Indians:** Do not count the first \$2,000 of certain per capita fund distributions made to Native Americans pursuant to the Indian Claims Act, P.L. 93-134 and P.L. 97-458, Section 4.
15. **Payments to World War II Internees:** Do not count compensation awarded to World War II internees under the Civil Act, 100-383 as mentioned at Section 105(f).
16. **Inheritances and Sale of Personal Property:** Do not count lump sum inheritances and one-time sales of personal property.
17. **Interest and Dividends:** Do not count the first \$3,000 of interest and/or dividend income in the calculation for income eligibility.
18. **Percentage of Social Security Income:** Do not count twenty-five percent of the gross Social Security and Old Age Survivors' Insurance benefit payments under the Social Security Act (42 U.S.C. section 401).
19. **Dual Eligibility with JTPA:** Eligible SCSEP enrollees qualify based on income or either Section 203 or Section 204(d) JTPA programs where there is a written agreement in place between the SDA and the SCSEP sponsor.
20. **IRA Distributions:** Do not count IRA distributions.
21. **Five Hundred Dollar (\$500) Exclusion:** Enrollees who are being recertified for continued enrollment and certain former enrollees applying for reenrollment should have \$500 deducted from calculated annual countable income if such a deduction is necessary to meet income limits for eligibility. Only those former enrollees who terminated from the SCSEP project within the past 12 months due to their illness or to accept an unsubsidized job may be given the \$500 exclusion upon reenrollment.

(Reminder: Applicants with the greatest economic need are to be given enrollment priority.)

8.6.3 Place of Residence

To be eligible for initial enrollment or reenrollment as a SCSEP enrollee, an individual must reside in the state where the project sponsor is authorized to operate a SCSEP program. A SCSEP enrollee is not required to meet the requirement for place of residence to be recertified for continued eligibility. "Place of residence" means an individual's permanent dwelling place. No requirement pertaining to length of residence prior to enrollment can be imposed. Homeless people can qualify for the program. They must identify a street corner, vacant lot, or other place as their residence, however.

Enrollment from specific jurisdictions can be required Project sponsors which serve more than one jurisdiction can be required by the U.S. Department of Labor to enroll specific numbers of individuals from each jurisdiction in order to comply with requirements for the equitable distribution of the placement opportunities as required in the Older Americans Act. **Equitable distribution is based on the place of residence of a SCSEP enrollee and not on the location of the assigned work site.**

United States citizenship not required; employment eligibility verification (Form I-9) United States citizenship is not a requirement for eligibility; however, the Immigration and Naturalization Service requires an Employment Eligibility Verification (Form I-9) for each person hired after November 6, 1986. This applies both to persons who are citizens of the United States and to persons who are not citizens of the United States. Each personnel file should include a completed Employment Eligibility Verification (Form I-9) for each SCSEP enrollee hired as an initial enrollee after November 6, 1986, and for each former SCSEP enrollee reenrolled after November 6, 1986. No Employment Eligibility Verification (Form I-9) is required for a SCSEP enrollee hired on or before November 6, 1986, so long as enrollment is continuous. The I-9 is required only by the organization which pays the enrollee. A grantee subgranting the project to another organization need not retain an I-9 but the subgrantee which pays the enrollee must retain it.

8.6.4 Eligibility Documentation Requirements

Each SCSEP grantee must create a written or electronic format that covers all documentation requirements. The format (or form) must address age, income and residency and must contain spaces and/or a series of common choices for attesting to the source of the eligibility information. For instance, the form may contain space or check off boxes to enter information from such sources as: drivers license, an official photo ID, birth certificate, Social Security/Medicare card and "other" sources.

For the income requirement The following categories must be included:

1. Calculation method used (6 or 12 months)
2. Amount of income (total family income)
3. Source of income (Social Security, wages, etc.)
4. Organization providing information (Social Security Administration, XYZ Corporation, etc.)

It is recommended that the form contain information on both "includable and excludable" income. The format must include certification of the information and data by the intake interviewer with the date. The form will be jointly signed or initialed by both the applicant/enrollee and the interviewer.

A supervisory or secondary review may be conducted at the grantee's discretion. If an enrollee is the interviewer, a second interview by a staff person is required.

Verifying family size Where records are unavailable or do not exist to verify the existence of non-existence of the number of persons residing in a family, the interviewer must determine that all potential information sources have been considered before acceptance of the individuals attestation of the number of family members. Potential sources of information include documents such as court decrees, landlord statements, leases, marriage certificates, medical cards, recent tax return, social security records, housing records, written statements from 24-hour care facilities or records of on-site observations. In exceptional cases, attestations by individuals who can vouch for the number of persons in the family can be used.

Income eligibility work sheets Program staff are encouraged to develop an optional work sheet for computing income. Work sheets may include mathematical calculations or narrative explanations which do not fit on the intake form.

Telephone verifications Interviews can use telephone verification work sheets for information secured over the telephone. The work sheet should provide for pertinent information – item to be verified, name of contact, etc.

Where no documentation can be secured In such exceptional cases, an explanation of the rationale for the determination must be developed and maintained.

Self-certification When the individual is the only source of information, (e.g. casual labor, where wage information is not available, the individual may attest to the accuracy of the information. This is to be only on an emergency or on exception basis. Sponsors may use self-certification statements which go beyond the minimum requirements mentioned above. These written statements should be designed to clearly indicate the importance of providing accurate information and the consequences of providing false information. In addition, the program staff should verbally explain this information to the applicant or enrollee.

8.6.5 Enrollment of More than One Family Member Discouraged

Enrollment of more than one member of a family in a SCSEP program is strongly discouraged. Moreover, while the wages an enrollee receives from the SCSEP program are not countable in determining that person's eligibility, the program wages from another family member who is counted in determining the number in the family must be counted.

8.6.6 Income Certification/Recertification

Project sponsors must recertify the income of each enrollee once each year. Program staff should pick a date for recertification and adhere to it so that the process becomes automatic. A project form should be used to recertify enrollees and income must be documented. Enrollees found to be ineligible for continued enrollment because of income should be given immediate written notice of termination and be terminated 30 days after the notice. The sponsor should assure that the individual is referred to other potential sources of assistance.

8.7 PHYSICAL EXAMINATIONS

A physical examination is a fringe benefit and service to the enrollee. It is not to be used to determine eligibility. A physical examination may limit a host agency job assignment only in circumstances discussed below.

Each enrollee must be offered a physical examination within 60 calendar days after enrollment, except as explained below. **The offer of a physical examination must be documented.** Each enrollee must be offered a physical examination annually.

Results of Examination Are the Property of the Enrollee The report of the examination is to be provided to the enrollee only. The report is the property of the enrollee. The enrollee may, but is under no obligation to, share the results with the program staff. If physicals are retained, they should be kept in a separate locked file. For bookkeeping purposes, a bill from the medical authority is documentation that an examination has been performed.

Limitations on Reenrollment Without Additional Physical Examination A former enrollee may be reenrolled without an additional physical examination, provided that no more than 12 months have elapsed since the last documented offer of a physical examination.

Waiving the Physical Examination When an enrollee objects to a physical examination, the project sponsor, after explaining the purpose of the examination and explaining that the SCSEP project will pay all or part of the cost of the examination, shall obtain a signed waiver from the enrollee. Additional waivers shall be obtained annually. **Waivers, however, should be the exception, not the rule.** A sample form for this can be found in Appendix C.

Absence of Physical Examination May Limit Assignments Notwithstanding the earlier provisions of this article, if required by applicable health laws, a physical examination may be required for

certain enrollee assignments. In such situations, the results of mandated tests (e.g. tuberculosis tests) will be made part of an enrollee's personnel file. If an enrollee objects to sharing the results of mandated tests, the project sponsor must explain to that individual that the absence of such a test may limit or exclude some assignments because of the need to comply with applicable health laws.

Sponsor's Internal Policy to Prevail Nothing in this section prohibits a sponsor agency which requires physical examinations of all employees from requiring physical examinations for enrollees.

Seeking Physical Examinations at No or Reduced Cost to Project Encouraged Each project sponsor should seek physical examinations at no cost or at reduced cost to the project or to the enrollees. The cost of physical examinations is allowable only when examinations at no cost are unavailable.

8.8 ORIENTATION

The program staff is responsible for providing a full and complete orientation of each enrollee at the time of enrollment and, if possible, prior to the first day of work at a host agency. The orientation must be documented. An enrollee must be paid no less than the applicable minimum wage for hours of orientation.

The orientation process is a good time to emphasize the importance of the unsubsidized employment element of the program. Some SCSEP projects have written policies on the enrollee's responsibilities for seeking unsubsidized employment. (See example in Appendix C.) Other projects have enrollees sign statements that they understand and will comply with the requirement to seek employment outside the program (see Appendix C for sample commitment form).

Enrollee orientation should be designed to provide information about the goals and policies of the SCSEP and the policies of the sponsoring organization. Some items to be covered are:

1. Goals of the SCSEP;
2. Goals of the project and of the sponsor organization;
3. Available supportive services;
4. Personnel policies and procedures, including, but not limited to:
 - Hours of work;
 - Training payment;
 - Schedule and method of training payment;
 - Fringe benefits (if any);
 - Procedures for complaint resolution;
 - Procedures for reporting assignment-related accidents;
 - Travel reimbursement, if applicable;
 - Enrollee meetings;
 - Rotational policy, if any;
 - Available training;

- Assessment policies (IDPs);
 - Obligation to seek unsubsidized employment, including applying for jobs at host agency;
 - Obligation to report any change in income or family size that may affect eligibility;
 - Drug-free work place policy;
 - 1300-hour limitation;
 - Maximum duration of employment, if any; and
 - Reasons for termination (including IDP-related terminations)
5. Allowable and unallowable political activities;
 6. Community service assignment description.

A sample orientation form can be found in Appendix C. [MT]

Enrollees Should Have Copy of Personnel Policy Each enrollee should be given a written copy of the project's personnel policies and procedures. Any policies of the sponsor agency that apply to enrollees should be included in personnel policies and in orientation training. Receipt of a copy of the policies should be documented by a statement signed by the enrollee and the statement should go into the enrollee's personnel record.

Reorientation Reorientation of each enrollee should be provided as appropriate. Reorientation serves as a reminder of subjects covered during initial orientation and provides an opportunity to present new information. It should reinforce the importance of getting quality training in preparation for a good unsubsidized job. Reorientation may be provided at enrollee meetings. [MT]

8.9 ASSESSMENT PROCESS

At the time of enrollment and prior to placement in a community service assignment each enrollee must have a thorough and complete assessment. It should include information on the skills, interests, talents, work history, physical capabilities, need for supportive services, aptitudes, preference of occupational category, potential for performing proposed community service duties and potential for transition to unsubsidized employment. To assure its adequacy and completeness, the initial assessment should be prepared by the program staff or designate in **partnership** with the enrollee. The Individual Development Plan can be prepared within 90 days of enrollment. It, also, is a partnership undertaken with the enrollee.

Initial Assessment At the time of enrollment and prior to placement in a community service assignment, each enrollee shall have a thorough and complete assessment. It shall include information on the skills, interests, talents, work history, physical capabilities, need for supportive services, aptitudes, preference of occupational category, potential for performing proposed community service assignment duties, and potential for transition to unsubsidized employment for each enrollee. To assure its accuracy and completeness, the Initial Assessment should be prepared by the program staff or qualified designate in partnership with the enrollee.

Individual Development Plan (IDP) The program staff shall use the Initial Assessment, and any subsequent reassessment, to develop or amend the Individual Development Plan. The Individual Development Plan is to be prepared in partnership with the enrollee within 90 days of enrollment. The host agency may **not** develop the IDP with the enrollee **alone**. Host agencies might not put enrollee's interests first, but rather concern themselves with their own needs. It is the sponsor's prerogative as to whether or not the host agency should be involved in the IDP preparation. The plan should reflect the needs and interests of the enrollee as indicated in the Initial Assessment, and shall be reviewed at least once every 12 months to evaluate the enrollee's progress. It is characteristic of the most effective SCSEP projects that they update their IDPs more often than the required once per year.

Purposes of Initial Assessment and Individual Development Plan The purposes of the Initial Assessment and Individual Development Plan are:

1. To effectively assign an enrollee to a host agency which best suits the training needs of the enrollee;
2. To identify appropriate training;
3. To identify unsubsidized employment prospects;
4. To indicate any personal or social barriers to employment and identify supportive services which will enhance the individual's successful participation in the SCSEP project; and,
5. To establish a plan of action, including goals and deadlines, for the enrollee.

How the Assessment Process Benefits Enrollees

The assessment process helps the enrollees to:

- Helps enrollees to determine their interests, experience, motivation and skills.
- Helps enrollees play an active role in choosing the employment and training most appropriate for them.
- Helps the enrollee understand the need for training and how it relates to their employment goals.
- Helps enrollees understand their strengths and weaknesses and ways to overcome whatever barriers to training and employment they may have. [MT]

Initial Assessment and Individual Development Plan Format Examples of an Initial Assessment, an Individual Development Plan and an updated IDP format are included in Appendix C. The Initial Assessment and Individual Development Plan should be completed by the program staff or designate during an interview with the enrollee. Enrollees should be aware of the content of the Initial Assessment and Individual Development Plan and should be in full agreement with the action plan. [See also "Keys to Developing Individual Development Plans," available from the National Council on Aging, 409 Third St., SW, Washington, CD 20024. ATTN: Jackie McKinley.]

8.10 HOST AGENCY ASSIGNMENT

As soon as possible after eligibility is determined, the physical exam is completed and assessment is conducted, enrollees should be assigned to appropriate subsidized employment. Job assignments should be based primarily on the enrollees' training and employment goals as expressed in their assessments. Secondary consideration may be given to unmet community needs. The following procedures should be used when placing an enrollee.

1. The program staff should decide where and in which capacity the enrollee is likely to function best. This decision should be based on information obtained in the initial interview. The preferences, unsubsidized employment goals, skills, and aptitudes of each enrollee should govern the placement, conditioned by the program staff's knowledge of skills needed by host agencies.
2. The program staff should confer with each host agency supervisor to determine specific job duties, days and hours of work, pre-assignment training, if necessary, and to develop a current written job description. If desired, copies of the job description may be placed in the enrollee's file.
3. The program staff should make sure that each host agency supervisor understands the goals of the SCSEP, including the unsubsidized placement goal, and the program staff's right to reassign each enrollee at any time.[JT,MT]

8.10.1 Host Agency Standards

A host agency must be a governmental or non-profit, non-partisan organization. Organizations and agencies eligible to act as host agencies are public agencies operated by units of government and non-profit agencies with certification under Section 501(c)(3) of the Internal Revenue Code. **A potential host agency claiming Section 501(c)(3) status must provide evidence of that status prior to serving as a host agency.** A political party shall not be a host agency.

- A host agency must agree to provide adequate orientation, supervision, instruction, and training on-the-job to each enrollee.
- A host agency must provide adequate supervision to enable each enrollee to perform as a productive and effective worker.
- A host agency must make a commitment to consider hiring each enrollee into an unsubsidized position within the host agency when an appropriate vacancy occurs, and a host agency must make a commitment to give consideration, consistent with other hiring requirements, to hiring each enrollee if funds become available for a position with duties which are the same as, or similar to, those being performed by an enrollee. If the host agency hires someone other than the qualified enrollee, the program staff should consider moving any enrollees and not assigning any other enrollees at the site.

- Jobs established at a host agency must support the goal of the SCSEP to contribute to the general welfare of the community.

8.10.2 Enrollee Working Conditions

Enrollees must not be permitted to work in buildings or under any conditions which are unsanitary, hazardous or dangerous to the enrollees' health or safety. Project sponsors should visit each site prior to placement to assure all safety conditions are met. Periodic visits should also be made subsequent to placement to assure all required work site conditions are maintained.

A project sponsor should, to the greatest extent possible, ensure that enrollees work during normal business hours if they so desire. Enrollees should not be given assignments which involve long periods of time working alone or without supervision.

Project sponsors must ensure that host agencies provide orientation, instruction, and supervision for enrollees regarding responsibilities and safety. [JT,MT]

8.10.3 Limitations on Work Sites

No enrollee can be assigned to projects involving the construction, operation, or maintenance of any facility used or to be used as a place of sectarian religious instruction or worship; to work which primarily benefits private, profit-making organizations; to work which benefits directly or indirectly any private or personal undertaking of any executive or member of the staff of the project sponsor or of any host agency. Many sponsors prohibit assignments at sites or activities which are entrepreneurial in nature and are revenue or income generating, including those sites where the intended purpose is to provide marketing opportunities for individuals or groups who consign crafts or other goods for public sale. Sponsors should be aware that income generated by projects is subject to separate rules requiring additional reporting.

8.10.4 Work Site Location

To the greatest extent possible, each enrollee should be assigned to a work site at a host agency in or near the community in which the enrollee resides.

8.10.5 Host Agency Agreements

Each host agency shall sign an agreement between the host agency and the project prior to the assignment of an SCSEP enrollee. It is important that host agencies make commitments to provide support to enrollees, allow them to go to meetings, job interviews, etc. and honor the volunteer service prohibition. Each host agency agreement shall be for one project year or the appropriate

portion thereof. Host agencies shall sign a new host agency agreement for each project year. A sample format for a host agency agreement is included in Appendix C.

Each project sponsor shall maintain records of all current Host Agency Agreements in a manner which makes it possible to determine that the assignment of each enrollee is covered by an appropriate agreement. For each host agency which is not a unit of government, a copy of the host agency's Section 501(c)(3) designation shall be a part of the SCSEP records.

8.10.6 Possible Host Agencies

The following list is not all inclusive. Verification of Section 501(c)(3) status is required without regard to this listing. Types of host agencies are illustrative only:

Adult Education Centers	Food Banks
Area Agencies on Aging	Foundations
Art Galleries and Institutes	
Boys Clubs	Girls Clubs
	Goodwill Industries
Commissions or Councils on Aging	Government Offices (Town, City, County, Federal)
Community Action Agencies	
Community Centers	Head Start
Community Colleges	Health Departments and Centers
Community Development Agencies	Heart Associations
Courts	Home Health Care Agencies
	Hospices (Public or Nonprofit)
	Hospitals (Public or Nonprofit)
Day Care Centers (Adult or Children)	Housing Authorities
Domestic Abuse Shelters	
Drug Abuse Treatment Centers	Legal Aid Societies
	Libraries
Education (Public Schools)	Literacy Councils
Employment Centers (Public or Non-Profit)	
Environmental Protection Services	Medical Clinics (Public or Nonprofit)
Ethnic/Cultural Centers	Mental Health Agencies
Neighborhood Centers	Museums (Public or Nonprofit)
Nurseries (Children)	
Nutrition Programs	Salvation Army
	Senior Corps of Retired Executives
	Senior Citizens Programs
	Senior Citizens Centers
Ombudsman Offices	Settlement Houses
Outreach and Information Referral Programs	Sheltered Workshops

Organizations Assisting the Blind or Deaf	Shelters for Homeless People
	Social Service Departments
Parks Services	
Police Departments	Transportation Departments
Pre-School Centers	
Public Information Offices	United Way Agencies
Red Cross Centers	Veterans Hospitals
Rehabilitation Centers	Vocational Education Centers
Retarded Persons Centers	Vocational Rehabilitation
Retired Senior Volunteer Services	Voluntary Agency Centers
Weatherization Programs	YMCA's AND YWCA's
Welfare Departments	Youth Centers

8.10.7 Written Assignment Descriptions

Some sponsors require written assignment descriptions for each enrollee position which are made a part of the permanent personnel records. Copies of the description shall be given the enrollee and to the host agency supervisor. These descriptions are dated and revised whenever duties are substantially changed. The following information is the minimum suggested for each job description:

Assignment Title: The title should reflect the duties and responsibilities involved.

Duties: A detailed description of the assignment.

Host Agency: Name, nature of programs and services provided by host agency.

Location: Address and telephone number of work site.

Hours and Days of Work: Regularly scheduled hours and days of work.

Rate of Pay: The hourly wage rate which will be paid to an enrollee in this position.

Supervision: Name and title of supervisor.

Duties and Responsibilities: All duties an enrollee will be expected to perform.

Criteria for Selection: Any particular skills, experiences or training requirements for the assignment.

Training: On-the-job and any other training necessary to perform the assignment duties.

Date: Date assignment description was written.

8.10.8 Host Agency Orientation and Periodic Meetings

A SCSEP sponsor or director shall provide a thorough orientation to each host agency supervisor so that each supervisor is familiar with the goals and objectives of the SCSEP and of the organization sponsoring the project. In addition, periodic meetings of host agency supervisors and host agency chief executives should be held to acquaint all concerned with SCSEP goals and objectives. [JD,MT]

8.10.9 Enrollee Evaluations

Just as the program requires that an IDP be developed with and for each participant at least annually, it also requires that each enrollee have a work performance evaluation no less than once each year. The results of the evaluation may affect the IDP. A more frequent schedule is encouraged when it is in the best interest of the enrollee. The periodic enrollee work performance evaluation not only lets the enrollees know how their performances are regarded, but also can identify areas of accomplishment, areas where improvement may be needed and areas where additional training or experience may improve the likelihood of unsubsidized employment.

Under most circumstances, a host agency supervisor will be the person to perform the evaluation. However, if there are questions or issues identified which cannot be resolved at the work site, the program staff may find it appropriate to make a supplemental evaluation. In either event, the enrollee must be given a copy of the evaluation, must have an opportunity to discuss the evaluation with the evaluator and must have an opportunity to comment upon or respond to it in writing. Evaluations must be based on performance described in a written job description. The evaluations should be reviewed by SCSEP project staff and maintained as part of the enrollee's permanent record. A sample performance evaluation can be found in Appendix D.

8.10.10 Serve People Not Host Agencies

Project sponsors should develop jobs for eligible applicants based on a broad range of skills rather than trying to find enrollees for special jobs. Positions should be not advertised to find persons with special skills, (i.e. type 30 works per minute or drive a car). Serving those most in need is not necessarily compatible with filling a host agency job where typing or computer skills are needed. Projects are often underenrolled because the recruitment focus ignores the essential characteristics of the population of its service area and tries to recruit enrollees for specific positions. The SCSEP is intended to serve people in need first.

Rotational Policy The SCSEP should be a training program designed to meet the needs of the enrollee, not the host agency. It should foster the confidence of enrollees and provide a chance to learn new skills. When the host agency has provided as much training as possible to the enrollee, then the enrollee should be rotated to another agency for additional training or to another training

position within the same agency. If the host agency is able to hire the enrollee on its own budget, it would, in most instances, be a candidate for another enrollee placement.

8.10.11 Volunteer Service Prohibition

The Fair Labor Standards Act (FLSA) prohibits individuals under certain circumstances from volunteering for extra hours of service with a public agency if they are employed by the same agency. Section 3[e][4][A](iii) of the FLSA does not permit an individual to perform volunteer service for a public agency when such service involves the similar or identical service which the individual is employed to perform for the same public agency. A detailed explanation of the volunteer service prohibition is included in Older Worker Bulletin 87-15.

8.10.12 When Host Agencies Compensate Enrollees for Extra Hours

Some host agencies pay enrollees for working extra hours at their assignments. This practice is not recommended. Host agencies should be encouraged to put these enrollees on their regular payrolls.

8.11 HOST AGENCY SITE MONITORING

Each SCSEP director must monitor the activities of each enrollee and host agency regularly, but not less than once each year. A SCSEP director who delegates a portion of monitoring duties is, nevertheless, responsible for seeing to it that each enrollee is interviewed personally at the assigned work site no less frequently than once each year and more frequently as appropriate and feasible. The purpose of monitoring is to assure compliance by the host agency and the enrollee with the SCSEP program policy and procedures, including hours and conditions of work, and performance of duties as described in a written job description.

Each SCSEP director should assure that these activities are conducted regularly:

Interview enrollee to:

- Assure that enrollee is knowledgeable of job duties as set forth in written job description;
- Determine whether enrollee is satisfied with job assignment;
- Determine whether enrollee is working extra hours;
- Determine whether enrollee has problems or complaints;
- Determine whether there are suggestions for changes or improvements, including possibility of training;
- Assure that the enrollee understands the limit on the length of the assignment (if applicable), payroll procedures, and fringe benefits;
- Review the efforts of the enrollee to obtain unsubsidized employment.

Interview host agency supervisor to:

- Discuss possibility of hiring enrollee;
- Discuss how they are helping enrollee find a job (time off for interviews, etc.);
- Determine whether a supervisor has suggestions for changes, including the possibility of placing the enrollee in a more responsible position or providing training;
- Assure compliance with maintenance of effort requirements, nondiscrimination requirements, and safe and healthful working conditions requirements.
- Determine whether the host agency supervisor is satisfied with the work being performed by the enrollee.

Review job description to:

- Determine that duties and tasks are the same as those described in the written job description;
- Determine that scheduled hours of work as set forth in the job description and approved by the project sponsor are being followed; and
- Assure that, if the enrollee is doing volunteer work at the host agency, it complies with policy and procedures. [JD]

8.11.1 Host Agency Monitoring Documentation Required

The monitoring of each enrollee at the assigned work site and the monitoring of each host agency shall be documented in sufficient detail to indicate the date of the monitoring, each enrollee interviewed, each host agency supervisor interviewed, and the nature and resolution of problems encountered, if any. The documentation shall be a part of the permanent project records and shall be in a format which makes it possible to determine the pattern and completeness of monitoring. (See sample monitoring form in Appendix C.)

8.12 ENROLLEE MEETINGS

Program staff need to convene periodic meetings of enrollees for the purpose of providing training and information. Meetings should be held at least annually, more frequently, if possible. A single meeting for all enrollees is preferable, but multiple meetings are permitted. Host agencies **must** release enrollees so that they can attend meetings.

Enrollee meetings are training sessions and are to provide opportunities for enrollees to gain information and engage in skill training. An opportunity for enrollees to ask questions and receive answers should be provided.

Attendance at regular project meetings is mandatory for each enrollee. Hours spent by an enrollee at a project meeting shall be compensated at the regular rate of pay. **A regular schedule of meetings is necessary** to facilitate attendance by enrollees and to permit host agency supervisors to plan for enrollees to be away from their assigned work sites.

8.12.1 Planning Meetings

To be effective, meetings should be well planned. A SCSEP director may, where appropriate, delegate some meeting responsibilities to enrollees to assure that enrollee meetings will be of interest and to provide enrollees with opportunities to demonstrate skills and initiative. Enrollees should be encouraged to plan meetings and to make presentations on subjects of interest.

Enrollee meetings can provide opportunities for enrollees to describe their job assignments, for the introduction of new enrollees, and for reports from or about activities of former enrollees, particularly those who obtained unsubsidized employment. [JD]

8.12.2 Appropriate Meeting Topics

Enrollees should be informed about the changes in SCSEP policies and procedures and the status of the program at meetings. Meetings are excellent opportunities for guest speakers to provide enrollees with useful information on a variety of subjects. Appropriate subjects include, but are not limited to:

1. Services available to older persons;
2. Social Security;
3. Medicare and Medicaid;
4. Health services;
5. Health and medical care insurance;
6. Financial management;
7. Legal assistance;
8. Food stamps;
9. Consumer information;
10. Personal safety and property security;
11. Fire safety in the home;
12. Employment Service assistance;
13. Employment counseling and job seeking techniques;
14. Available job openings;
15. Tax counseling services;
16. Public housing
17. Programs and services of the sponsor agency;
18. Environmental information; and
19. Legislative information, including appearances by elected officials and candidates, provided that all candidates for an office are invited.[PR,JD,MT]

8.13 ENROLLEE PERSONNEL RECORDS

Each enrollee must have a set of permanent personnel records. The personnel records shall be kept confidential, current and in an orderly manner. Each enrollee has a right to see any and all documents

which constitute his or her personnel records. If a project sponsor does not keep all personnel documents pertaining to an enrollee in a single file, the file containing enrollment, reenrollment, or recertification forms must contain a statement describing which other documents are maintained, where they are maintained and how the enrollee can access them. If physicals are returned to the project office, they should be kept in separate files.[JD,MT]

8.13.1 Documents for Personnel Records

Enrollee files should contain:

- A complete and signed client intake form. It is recommended that a second staff person review it within 30 days of enrollment and sign it if the information is complete, accurate and the proper determination has been made. There should be documentation as to how the required information was verified. For instance, a notation should be made that a Social Security statement or an income tax form was seen.
- An enrollee recertification of eligibility every 12 months with the same documentation as for intakes;
- Evidence that the enrollee was offered a physical examination within 60 days of initial enrollment, as well as during every succeeding 12-month period. A signed waiver should be included only when the enrollee refuses the physical examination. (Waivers should be the exception, not the rule.)
- Evidence of temporary status and/or termination notice for those affected enrollees;
- An Initial Assessment , Individual Development Plan, and IDP review;
- Evidence that IDPs have been updated at least every 12 months;
- Evidence of an I-9 form showing that the enrollee is a citizen or a legal resident alien who is permitted to work in the United States.

8.13.2 Possible Additional Documents for Personnel Records

- Record of Orientation, including acknowledgement of receipt of personnel policies and procedures, including complaint resolution procedure;
- Signed Employment Agreement;
- Signed copy of Form W-4, Withholding Allowance Certificate;
- Written job description;
- Record of date and duration of each job assignment;
- Annual job performance evaluation;
- Host Site evaluation report;
- Payroll signoff;
- Vacation and sick leave record, including requests for leave;
- Notes regarding any support services provided, e. g. medical services, counseling;
- Any applicable waivers;
- Record of valid drivers's license and auto liability insurance, if enrollee is required to

- use own vehicle as a requirement of their employment;
- Personnel actions, e.g. warning notice, termination notice;
- Unsubsidized Placement Follow-up Record; and
- Documentation of reimbursement for or purchase of support services such as eyeglasses, work shoes, or transportation.

8.13.3 Security of Personnel Records

Personnel records are confidential and must be kept in a secure place which is accessible only to authorized persons.

8.14 TRAINING

All training for which an enrollee is compensated or for which SCSEP funds are expended should be clearly consistent with the requirements of the community service assignment and clearly related to the unsubsidized employment objectives of the enrollee as identified in the Initial Assessment, the Individual Development Plan or the updated IDP. Project sponsors are expected to seek training for enrollees at no cost or reduced cost to the project. Enrollment of participants in federally or state funded training programs is specifically encouraged. It is in the best interest of enrollees if they can be enrolled in the JTPA or other training programs while continuing enrollment as SCSEP participants. Dual enrollment allow enrollees to be paid while undergoing training. This is an inducement to enrollees to increase their skills and to prepare for unsubsidized jobs.

8.14.1 Training Arrangements

SCSEP regulations require program sponsors to provide or arrange for training specific to their community service assignment. This training consists of up to 500 hours per grant year and must be consistent with the enrollee's IDP. Waivers for additional training hours will be considered on an exception basis. The two types of training most widely used by the SCSEP population are literacy training and occupational training. Literacy training concentrates on basic language and computational skills and can lead to a GED. Occupational training can involve the teaching of new job-related skills or the retraining or upgrading of skills a person already possesses. This training may be provided through lectures, seminars, classroom and individual instruction or other arrangements to provide the enrollees with training to acquire or improve skills, including literacy training, applicable in their community service assignments or for unsubsidized employment.

SCSEP directors are urged to refer enrollees to One-Stop Centers where available. These centers can provide enrollees with information on available training programs and can help them find the services they need through one system. [MT]

Along with referring enrollees to One-Stop Centers, some options for meeting training requirements are:

- Enroll the participant in a JTPA or Section 502(e) training program.
- Enroll the participant in a job search course or a job club.
- Arrange for the host agency to provide the enrollee with structured training.
- Enroll the participant in a community college or adult education course.
- Develop and operate an in-house training program.
- Subcontract with a vendor to design and deliver training.
- Purchase admittance for the participant in an existing training program.
- Help the participant get a student loan.
- Support the enrollee in an independent search for training outside the SCSEP environment. [JD,MT]

Examples of Training That Has Helped Enrollees Find Jobs

Introduction to Computers	Home Health Care
Intermediate and Advanced Computers	Early Childhood Education
Adult Day Care	Medical Technology
General Office Procedures	Geriatric Homemaking
General Repair	Electrical Repair

8.15 JOB DEVELOPMENT

Project sponsors should employ all reasonable methods to develop unsubsidized and subsidized placements for SCSEP enrollees. Job development methods should include:

1. A thorough assessment of enrollees to determine skill levels and training needs;
2. An assessment of community needs in relation to employment;
3. The establishment of host sites which will train enrollees and make a commitment to consider hiring them;
4. Networking within the community to locate and/or develop suitable unsubsidized positions for enrollees.

Training a project job developer can increase SCSEP project's unsubsidized placement rates. Some activities for job developers are:

1. Accessing local labor market information - Using One-Stop Centers, local Employment Service offices, regional community colleges, the chamber of commerce, labor unions, JTPA offices, local private industry councils, etc.;
2. Setting up job banks - Obtaining listings from One-Stop Centers, JTPAs, local newspapers and the local Employment Service;
3. Participating in job clubs; Assisting job club leader in job search activities;
4. Developing systems to inform enrollees of job openings - Putting notices in with pay checks, call enrollees at host agencies, request enrollees to come into the project office for face-to-face discussions; and

5. Contacting local employers. [JD]

SCSEP staff should make use of the labor market information (LMI) which is an important feature of the One-Stop Career Center System. Through America's Labor Market Information System (ALMIS), job seekers will have access to a database containing information about over ten million employers throughout the country.

8.16 UNSUBSIDIZED EMPLOYMENT

A major goal of the SCSEP program is to ensure opportunities for placement for the maximum number of eligible individuals. Therefore, each project sponsor shall use every reasonable means to place SCSEP enrollees into unsubsidized employment. The goal established by the U.S. Department of Labor is to place 20% of all authorized positions into unsubsidized employment during the program year. Some SCSEP projects have higher goals. Unsubsidized employment is officially defined as:

"Employment in the public or private sector where the former SCSEP participant is not a participant in a federally funded employment and training program. Placements in programs operated by VISTA (now Americorps) shall not be counted as unsubsidized unless they are in non-volunteer positions."

Each project sponsor should contact private and public employers directly in an effort to identify and develop suitable unsubsidized employment opportunities for enrollees. Sponsors should also encourage host agencies to employ enrollees.

All enrollees must understand their obligation to demonstrate initiative in seeking unsubsidized employment whenever possible. As part of the effort to find unsubsidized placement, enrollees should be strongly encouraged to register as a job seeker with the appropriate local office of the state Employment Security Agency, One-Stop Center, as well as public employers, i.e., governmental agencies.

8.16.1 Employment Strategies

Every reasonable means should be employed by the sponsor staff to assist enrollees with job search activities. Possible strategies are:

- Seek assistance at One-Stop Centers.
- Seek assistance from local, state and federal employment agencies.
- Seek assistance from other local agencies.
- Prevail upon host agencies to accept qualified enrollees into their regular work force.
- Maintain a liaison with other SCSEP sponsors and state agencies to identify job openings or training opportunities.
- Identify and seek the assistance of profit and non-profit organizations concerned with

- employment and services for seniors.
- Consistently remind enrollees of their responsibility to seek and accept unsubsidized employment. (JD,MT)

Some techniques that SCSEP project staff have found useful for increasing unsubsidized employment are:

- Using motivational techniques with enrollees;
- Using public relations effectively;
- Organizing and operating a job club;
- Training and using a job developer;
- Training enrollees in job search techniques;
- Providing training to increase enrollee's skills. [PR,JD,MT]
- Rotating enrollees;
- Keeping job search records; and
- Asking host agencies to hire enrollees; move enrollees to another site if they are not considered for job openings. [PR,JD,MT]

8.16.2 Barriers to Employment

Enrollees may establish internal barriers to accepting unsubsidized placement. Some common barriers are noted below. Also listed are possible strategies that program staff may implement to overcome the barriers and enhance unsubsidized employment activities.

- Many enrollees have been in the program for a long time and feel (or have been told) they have limited job opportunities.
- Enrollees do not want to work the full 40-hour work week often expected in the private sector and don't realize that today's work world is filled with part-time employment opportunities.
- Enrollees view their SCSEP employment as regular employment rather than a stepping stone to unsubsidized placement.
- Some enrollees resist job opportunities for fear of change.
- Enrollees feel personal rejection when encouraged to leave the program, regardless of their capabilities.
- Some enrollees would rather quit than go for other job interviews.
- Many enrollees think they are too old or too poorly qualified to find jobs.
- Some supervisors of enrollees discourage placement in an effort to keep their trained enrollees.
- Many supervisors visualize the SCSEP as an employment program only. Training and development are unimportant or non-existent and they even resist releasing enrollees to attend the occasional special meetings held for SCSEP enrollees. (MT)

8.16.3 Strategies for Overcoming Barriers

Some strategies that have proven successful in SCSEP projects are:

- Give awards or recognition to units which excel in unsubsidized placement targets.
- Give special recognition to host agencies that hire SCSEP enrollees into temporary, part-time, or full-time positions.
- Sell the concept to host agency supervisors that it is desirable for enrollees to leave the program for unsubsidized placements.
- Establish a system to assure:
 - All enrollees receive job search skills;
 - A skill assessment is made on each enrollee to determine skill and training needs;
 - A plan for transition to unsubsidized placement is developed between the enrollee, supervisor and project sponsor.
- Enlist the support of former enrollees to sell the concept of unsubsidized placement being desirable for them and their peers.
- Give awards to enrollees for securing unsubsidized placement in the private sector and bring the enrollee back to a project meeting for recognition and receipt of the award.
- Provide a letter of recommendation from supervisors to enrollees to use as letters of introduction when going out on job interviews.
- Periodically follow up with the SCSEP enrollees to see what they are doing about self-directed job search.
- Develop linkages with the local job service offices to refer vacancies to you. Send your enrollees to the job developer at the job service office for referral to these vacancies.
- Develop placements for enrollees through linkages within the community, review of want-ads and discussions with host agencies.
- Improve the enrollees self esteem through encouragement and positive reinforcement. JD,MT)

SCSEP directors with Internet access can make use of America's Job Bank (www.ajb.dni.us) which is associated with One-Stop. This web site has more than 750,000 job listings. Another One-Stop service, America's Talent Bank (www.atb.org) is a computerized compilation of resumes for job seekers to post and employers to use.

The key ingredient for a successful placement program is the support of the program personnel. When they help, things happen; when they hinder, there are one thousand ways to subtly sabotage a successful placement opportunity, therefore, do not forget the role of the sponsor, subsponsor or host agency staff in the process of getting enrollees to accept placement in the private sector. When program and/or host agency staff find they can help meet the unsubsidized placement targets by

providing part-time positions to their enrollees, they will often choose that option over losing their enrollee.

As a minimum, each sponsor shall ensure that all former enrollees are contacted at least once within 90 days after an unsubsidized placement. Additional follow-up should be conducted as often as necessary. All contacts should be documented in the enrollee's file. [PR,JD,MT]

8.16.4 Placement Indicators

The placement indicators used for SCSEP unsubsidized placements were established to assure the uniform reporting of placements throughout the SCSEP system. The indicators allow DOL to obtain standard placement counts for all grantees and to obtain assistance from grantees in gathering data on non-reportable placement activities which are being performed. In order for a placement to be counted, it must meet the following quality tests:

1. The placement must be confirmed as still employed after 30 calendar days.
2. At the time of placement, the employer must intend for the job to last at least 90 days.
3. The individual must be better off economically than he/she was under the SCSEP.
4. Employment must occur within 90 days after termination, and the placement must be attributable to the SCSEP.

The "better off economically" requirement will be satisfied when an enrollee has been placed into a job providing income and/or estimated benefits greater than those received under the SCSEP, or when two of the following criteria are met:

- Hours of employment per week exceed 20 and the pay is at or above minimum wage;
- Job is consistent with IDP;
- Free housing is provided;
- Free food/meals are provided;
- Health benefits are provided;
- Reduced cost or free transportation is received; and
- Other economic benefits, not listed above, are provided.

These indicators should be used when recording unsubsidized placements for the QPR. Program staff should also share the number of placements which fall outside the above definition in the QPR narrative section so that this information can be used to show more accurately the work being done by SCSEP sponsors.

8.17 ADDITIONAL POSITIONS

Any time a portion of the SCSEP project funds are not being used as planned in the grant agreement, the project sponsor may use those funds to enroll additional eligible individuals in temporary positions. The number of additional positions may not exceed 20% of the total number of authorized positions established under the agreement without the written approval of the Department of Labor, Older Workers Program.

Payments to or on behalf of enrollees in these additional positions shall not exceed the amount of the unused funds available. Each individual enrolled in an additional position shall be informed, in writing, that the employment is of a temporary nature and may be terminated. SCSEP directors should initially seek to maintain full enrollment in authorized positions. Further, sponsors shall seek to schedule all additional enrollments and terminations to avoid excessive terminations at the end of the project period.

8.18 TERMINATIONS FOR CAUSE

8.18.1 Administrative Terminations

An enrollee may be terminated immediately for cause. A 30-day notice is not required. Reasons for administrative termination (termination for cause) should be the same as in SCSEP sponsor and sub-sponsor terminations for cause policies. Reasons may include, but are not limited to:

1. Refusal to cooperate in establishing eligibility;
2. Inability and/or unwillingness to perform assigned duties;
3. Refusal to accept a different community service assignment;
4. Frequent tardiness or unauthorized absences;
5. Falsification by the enrollee of time sheets or other official records;
6. Insubordination;

7. Obscene/abusive language or behavior;
8. Non-compliance with substance abuse policy; and
9. Failure to cooperate with project and/or host agency staff.

Care should be taken to assure that the causes for the behavioral problems are identified and considered. Failure to perform may result from a disability covered by the Americans With Disabilities Act. It may be inappropriate to terminate such a person without making an effort to accommodate the disability.

Problems related to drug and alcohol use, etc. should be referred to appropriate agencies. Other types of unusual or uncooperative behavior may be addressed through counseling and placements at other host agencies. Projects should attempt to improve the lives of the participants while attempting to operate a project within the limitations of available resources.

When appropriate program staff should always try to place enrollees at another agency before terminating. Behaviors that may lead to administrative termination must be **fully documented** and included in project records. The personnel policies and procedures of each project must include the reasons for termination and the procedures for complaint resolution. Staff should make sure that enrollees have been informed of these procedures.

8.18.2 Individual Development Plan Terminations

Failure to participate in the Individual Development Plan process may be cause for corrective actions and, as a last resort, termination. IDP-related terminations can only be executed if the Department of Labor has approved the grantee's written policy. Repeated refusal by the enrollee to perform specific actions as agreed to in the IDP may result in termination. The following is an illustrative list of action steps that could be a part of an IDP:

1. Attending a job interview;
2. Accepting an initial or alternative assignment;
3. Registering at the local job service or employment security office;
4. Improving personal habits or appearance;
5. Participating in workshops, training, etc.

Prior to an IDP related termination, an enrollee must be given a chance to correct the offending action. Written notice shall be given to the enrollee, citing a specific incident in which the enrollee did not fulfill his or her IDP responsibility. The notice should list the specific event, cite the jointly signed agreement provision and provide a period of 30 days to take corrective action. Succeeding notices should follow a progressive pattern.

Before considering termination proceedings, SCSEP staff should make every effort to find out why enrollees are not cooperating to meet their employment and training goals. A private meeting with the enrollee can help to explore the cause and find a solution to the problem without resulting to terminating the enrollee.

Extenuating Circumstances An IDP-related termination is not appropriate when:

1. Occurrences are not within the control of the enrollee. (e.g. transportation to training or unsubsidized job is unavailable.);
2. The death of a closely-related person or partner impact the situation;
3. The training or unsubsidized job places undue hardship on the enrollees that exceed those of the community service assignment;
4. The proposed unsubsidized employment is more costly to the enrollee than the SCSEP position; and

5. Other related reasons should be considered on a case-by-case basis.

Local project personnel policies and procedures must include the reasons for Individual Development Plan-related terminations. Policies should include such information as **how many** refusals to attend job interviews, etc. constitute grounds for termination. **These policies with specific reasons for terminating enrollees must be approved by DOL.** Grantees must provide enrollees with information on the grantee/s rules for IDP-related terminations. These rules must be presented during orientation. In instances where that is not possible, they may be given out at an enrollee meeting. The rules must also be contained in the grantees enrollee handbook or a similar document.

Grantees who exercise the IDP-related termination option should remember that it is a process to be used as a last resort.

8.18.3 Administrative or IDP Termination Appeals

An enrollee terminated for either administrative or Individual Development Plan reasons must be given a termination letter. The termination letter must state the enrollee's right of appeal and cite appropriate time frames and the name of the officer to whom an appeal may be made. A copy of the termination letter shall be a part of the personnel record of the enrollee.

A minimum of two levels of review must be built into the appeal procedures for IDP-related terminations, if possible. Those with direct responsibility in the IDP-related termination decision, should exclude themselves from the appeal.

8.18.4 Over-Income Terminations

At any time during the year, an enrollee determined to be income-ineligible shall be terminated with a 30-day written notice.

8.18.5 Maximum Duration of Enrollment

SCSEP sponsors may elect to establish a maximum duration of enrollment. The limitation must be established by the grantee in the grant application or a modification to the grant agreement and authorized by DOL. The following minimum requirements must be met by the limitation:

1. It must be applied equitably and uniformly. It must apply to everyone, with no exceptions.
2. The time limitation must be a reasonable one, specified in the grant agreement.
3. The IDP for each individual must provide for transition to unsubsidized employment or other assistance before the maximum duration has expired.
4. Affected enrollees must be informed in writing no less than 12 months prior to scheduled termination.

8.18.6 Termination Procedure

A Termination Notice or form shall be completed for each participant whose enrollment is ended. The Termination Notice or form, should be typed or filled out with a ball point pen, and signed in ink.

A Termination Notice or form shall be completed for each participant whose enrollment is ended. The Termination Notice or form, should be typed or filled out with a ball point pen, and signed in ink.

Documentation is required for the 30-day follow-up contact with former enrollee placed in pending unsubsidized jobs, and to report a confirmed unsubsidized placement.

The signature of the SCSEP director or sponsor designate is required on each Termination Notice or form.

8.19 REPORTING REQUIREMENTS

Both the Quarterly Progress Report (QPR) and Financial Status Report (FSR) should be used to forecast expenditures, hours of work that can be offered to enrollees, and the number of additional positions that can be filled during a grant year. Through close coordination with financial staff, the QPR and FSR can be used for budgetary planning and controlling. Staff communication should be continuous.

8.19.1 Financial Status Report

Each sponsor shall submit quarterly Financial Status Reports (FSR) in accordance with the financial requirements of **41 CFR part 29 through 70**. An annual FSR is also required for each experimental private sector training project [502(e)] project. A copy of the required reporting form, FSR 269, is included in Appendix C.

Fiscal Information - Include financial information contained in audits, program or activity reviews, or other reports. Report on expenditure of funds; cite any problems of overspending or underspending and projected dollar needs.

8.19.2 Quarterly Progress Report

Sponsors shall also submit a Senior Community Service Employment Program Quarterly Progress Report (QPR). An additional QPR is required for each experimental training [502(e)] project. A copy of a reporting form is included in Appendix C.

The Narrative Report A narrative report should be attached to each QPR. The purpose of each narrative report is to give the sponsor an opportunity to explain any noteworthy achievements of the

project, as well as any problem areas encountered during the reporting period. A narrative report must accompany the QPR submitted to the Department of Labor for each sponsor. Sponsors may require QPRs from their sub-sponsors. The narrative could, at a minimum, include the following activities.

Monitoring – Explain what the staff has done to examine the SCSEP operations at different levels to determine if the SCSEP goals and objectives are being met. Document whether operations conform to policies as stated in the Labor Department regulations, sub-sponsor agreements, or other guidelines.

Training and Technical Assistance – Describe the training that staff have received to properly administer the program. Describe training that enrollees have received and differentiate this from staff training. Cite program and activity reviews conducted as well as functional and technical assistance trips.

Unsubsidized Placement – Describe efforts put forth to achieve unsubsidized placement. Document whether placements resulted from training provided by SCSEP.

Newspaper Clippings – Provide items such as newspaper clippings or news releases on SCSEP activities.

Special Activities – Include information on the handicapped, observance of Older Worker Week, cooperative meetings with other SCSEP sponsors, awards ceremonies for enrollees, job fairs, etc.

8.19.3 Reporting Deadlines

All quarterly reports are to be submitted to the Department of Labor, Older Workers Program **no later** than thirty (30) days after the ending date of each quarter.

DEADLINES
October 30 January 30 April 30 July 30

8.19.4 Utilization of Quarterly Reports

The Quarterly Progress Report and Financial Status Report should be used as management tools by

project sponsors as well as sub-sponsor(s). Some suggestions are noted below.

At the sponsor level the QPR may be used to assess the following:

- Turnover of enrollees
- New appointments (cumulative) as a percentage of authorized positions
- Unsubsidized placement rate (success)
- Number and percentage of all SCSEP enrollees by ethnic group, sex, and age.

Using the above analyzed data, sponsor level management can readily assess trends of weaknesses and strengths in achieving overall program objectives.

The QPRs may also indicate the need to de-emphasize placement of enrollees in one area of community service and the need to accelerate placement in another category.

At the program level sub-sponsors can use the QPRs and FSRs as planning and action tools to make for a more effective program at the sub-sponsor level. Sub-sponsors may also use all of the items listed above.

8.20 EXPERIMENTAL PRIVATE SECTOR TRAINING [SEC. 502(e) TRAINING]

Section 502(e) of the Older Americans Act mandates a pool of funds that is specifically targeted for training older persons for jobs in the private sector. These training projects are expected to emphasize second career opportunities and training for placement in growth industries or jobs needing new technological skills.

The funds may also be used for training for jobs that experiment with new types of work modes, such as flex time or job sharing, including jobs with reduced physical exertion. National SCSEP grantees must distribute 502(e) funds in accordance with the state allocation in their grant.

Experimental private sector training participants must meet the same age, income and resident requirements as those required for enrollees in the Senior Community Service Employment Program.

SCSEP sponsors must apply for experimental private sector training funds as discussed in Part 2.0 of this handbook. 502(e) experimental projects cannot be undertaken unless they have been included in the grant or an accepted grant modification. All 502(e) training projects require a separate QPR and an annual FSR. [MT]

Differences Between SCSEP Training and 502(e) Training

SCSEP Training	502(e) Training
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SCSEP Training	502(e) Training
Has a 500-hour training limitation	Has no limit on training hours
Can not pay for training in the private sector	Pays for training in the private sector.
Pre-assignment and additional training is designed to enhance performance in host agency assignments, build self-esteem or improve the general marketability of enrollee	502(e) funds are designed to give capable, job-ready individuals the specific knowledge or credentials needed to be hired for actual jobs in their communities
An introduction to computers course for enrollees wishing to improve office skills is an example of SCSEP training	A 502(e) training course might provide training for former homemakers in home health care basics, then placing them in private nursing homes for on-the-job training and experience

Some Ways of Using 502(e) Funds Some of these types of training discussed below are the same as regular SCSEP training. Much job club and classroom training can be done through regular SCSEP training. Although there is a 500 hour limit on this training, the limit can be waived. The difference lies in the 502(e) requirement that training should be designed to promote second career training and innovative work modes **resulting in the placement of enrollees in jobs with private business concerns**. Training agreements for 502(e) training may be with states, public agencies, nonprofits and private businesses. The training should emphasize placement into growth industries and jobs reflecting new technologies.)

On-the-job training(OJT) is training provided by a **private for-profit or private nonprofit** employer where 502(e) funds are used to reimburse the employer for 50 percent of the wages paid to the trainee for a specified period of time. In OJT, the SCSEP must negotiate a formal contract with employer that details the training experience. The employer pays all FICA and fringe benefits. The trainee becomes an employer's employee at the start of the training. At the conclusion of the training, the employer is expected to hire the successful trainee.

Work experience is training provided by a **private for-profit employer** where all the wages and fringe benefits of the trainee for a specified period of time are paid by 502(e) funds. The trainee does not become an employee until after the training period. The trainee is paid by the SCSEP project.

Classroom training (general) includes educational courses that teach skills in demand in today's economy but does not result in licensure or certificates of accreditation.

Classroom training (occupational) includes courses of study that result in accreditation for a particular job (nurses aide, commercial driver, paralegal,child care aide) where certification is required.

Job club/job search is employment search training including resume writing and interviewing where

job-ready individuals learn how to approach employers and use community resources to locate job openings. This is usually done in combination with one of the trainings discussed above.

Transitional services are support services provided to unemployed persons to help them transition to the workplace. These services may include counseling, motivational training, assessment and job development services.

In one national contractor's experience, the most common use of these funds has been for on-the-job training in private businesses, occupational classroom training and practicums. Less common uses include work experience, job development and job search, counseling and other transitional services in places where the services were not available elsewhere in the community. The best results occur when combinations of training types are used.

502(e) funds may be used to pay tuition, participant wages, instructor/counselor costs, mileage, book/material fees, uniforms and other costs related to training. JTPA can cover the cost of assessment and job development while 502(e) funds cover on-the-job training. [MT]